DOCUMENT RESUME

ED 097 783 95 EA 006 488

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|---|---|
| AUTHOR | Achilles, C. M., Ed. |
| TITLE | Applications of Planning in Education. |
| INSTITUTION | Tennessee Univ., Knoxville. Dept. of Educational Administration and Supervision. |
| SPONS AGENCY | Bureau of Higher Education (DHEW/OE), Washington, D.C. |
| PUB DATE | Oct 74 |
| NOTE | 52p.; Edited speeches and background materials for the Public Schools for Cooperative Research 1972-74 Institute |
| EDRS PRICE | MF-$0.75 HC-$3.15 PLUS POSTAGE |
| DESCRIPTORS | Communication (Thought Transfer); Decision Making; Educational Administration; *Educational Planning; *Institutes (Training Programs); *Personnel Evaluation; *Program Planning; Resource Allocations; School Community Relationship; School District Autonomy; *Speeches; Staff Improvement; State Departments of Education; Teacher Evaluation |
| IDENTIFIERS | Tennessee |

ABSTRACT

Public Schools for Cooperative Research (PSCR) is a school study council located in East Tennessee. The PSCR Institute is a two-year program devoted to the theme "Educational Planning, Communication and Community Decision Making." Materials included in this publication represent the views expressed by some of the consultants who participated with PSCR in the Institute. The authors include experts in community power structure, educational planning, personnel evaluation, State department organization and planning, and educational planning systems. (Author/WM)

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# APPLICATIONS OF PLANNING IN EDUCATION

Edited Speeches and Background Materials
PUBLIC SCHOOLS FOR COOPERATIVE RESEARCH (PSCR)

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EA 006 159

**OCTOBER, 1974**

This program was partially financed by a federal grant under Program IMPACT of the Higher Educatio n Act of 1965, Title I: Community Service and Continuing Education, U.S. Office of Education, through the State Agency for Title I in Tennessee.

# INTRODUCTION

Public Schools for Cooperative Research (PSCR) is a school study council located in East Tennessee and composed (1974) of nineteen school districts and one educational cooperative. The PSCR Organization originated in 1959 under the guidance of Dr. Orin B. Graff of the Department of Educational Administration and Supervision, College of Education, University of Tennessee, with seven charter members which are still active. PSCR has enjoyed continuous operation since its beginning, and ties between PSCR and the University have strengthened.

One major goal of PSCR is to sponsor conferences and workshops related to problems in education. During the 1970's it became apparent that there was a need for more comprehensive planning in regard to education and utilization of educational resources. Thus, one focus of PSCR in the 1970's has been on the question of educational planning.

In 1971 several PSCR members thought that it would serve the organization's purposes if a single theme could be identified which would serve as the basis for programs for a full year, or for several years. At that time, planning groups from PSCR identified educational planning as a need and suggested that the theme "Educational Planning, Communication and Community Decision Making" become the topic for continuous PSCR efforts for a two-year period. This program effort was designated the PSCR Institute.

In 1972 the PSCR Organization applied under Title I of the Higher Education Act (HEA) for a small grant to help sponsor some PSCR educational planning activities. A grant ($1984) was subsequently received, and the PSCR Institute used these funds to supplement activities already begun under the direction of Dr. John Lovell of the Department of Educational Administration and Supervision. Dr. Lovell served for two years as Director of the PSCR Institute and was succeeded by Dr. Robert Roney. Funds received under Title I HEA allowed PSCR to expand its efforts and to include more persons from the educational community in work on the topic, "Community Educational Planning." The planning thrust was expanded in 1974 to include planning for the development and implementation of Tennessee's mandated personnel evaluation program in education.

The PSCR Organization was fortunate in obtaining the services of nationally known experts in community power structure, educational planning, personnel evaluation, state department organization and planning, and in the demonstration of a rational educational planning system developed by the Center for Advanced Study of Educational Administration. These activities were the heart of the PSCR Institute.

Materials included in this publication represent the views expressed by some of the consultants who participated with PSCR in the Institute and the HEA activities. These materials have been collected for publication in this monograph to provide vital dissemination of the ideas expressed in the

Institute so that they may help other educators in determining directions for educational planning and for staff evaluation.

PSCR Member Districts (1974):

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Campbell County
Chattanooga
Claiborne County
Clinton
Cocke County
Greene County
Greeneville
Hamilton County
Harriman
Knoxville
Lenoir City
Morgan County
Morristown
Oak Ridge
Oneida City
Rhea County
Roane County
Tennessee Appalachia Educational Cooperative

Special thanks is owed to the Department of Educational Administration and Supervision, College of Education, University of Tennessee, and additional staff members who attended and participated in the PSCR sessions.

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Gary Maas, PSCR Fellow, 1972
Shirley Stanifer, PSCR Fellow, 1973
Robert Moss, PSCR Fellow, 1974

Material in this monograph has been collected from speeches and presentations. Responsibility for editing was shared by Robert Moss, PSCR Fellow, and C. M. Achilles, Executive Secretary of PSCR. The editors hope that the basic content of the material is retained and must assume responsibility for any major discrepancies that exist.

The PSCR Planning Committee worked for three years (1972-73-74) in helping plan and arrange the various sessions of the Institute. The committee was composed as follows:

Dr. Ken Loflin, Oak Ridge
Dr. Bob McElrath, Greeneville
Dr. Jim Thomas, Bristol
Dr. Ross Wilson, Lenoir City
Dr. Ed Williams, Roane County
Dr. John Lovell, UT (1972-73)
Dr. Bob Roney, UT (1973-74)

Much of the PSCR Institute activity was assisted by a modest Federal Grant from Title I of the Higher Education Act of 1965. Thanks is expressed to the Tennessee State Agency for Title I which made this grant possible.

This project was partially funded by a Federal grant under Program IMPACT of the Higher Education Act of 1965, Title I: Community Service and Continuing Education, U. S. Office Of Education, through the State Agency for Title I in Tennessee.

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* This presentation appeared as an article in Tennessee Education III, 1 (Spring, 1973), pp. 17-28.

# SCHOOL-COMMUNITY COMMUNICATION

Dr. Mike Nunnery, University of Florida
PSCR, March 8, 1972

The title, "School-Community Communication," is a euphemism for examining three related, straightforward questions:

1. How can school leaders identify opinion leaders (community influentials, power wielders)?

2. How can school leaders secure valid feedback from the community? (Determine what the several segments think regarding specific questions or issues?)

3. How can school leaders influence the opinions held by the several segments of the community?

Before dealing with the questions, let's identify some basic convictions held by those who feel school leaders must know and communicate with opinion leaders, secure valid feedback, and make an effort to influence community opinions. These convictions provide the framework for the answers offered for consideration. First of all, education no longer enjoys the legendary hallowed place in the minds of the public, if in fact there was ever such veneration. Schools are in competition with other public services for community support. Thus, school leaders must attempt to influence opinions, for these opinions are an important base upon which governmental decisions rest. Said another way, influencing opinions is essential for educational progress. Second, if schools are viewed as a subsystem of the immediate larger social system, the community, they cannot be isolated from the immediate larger social system and survive. Thus, valid feedback is an essential input if the subsystem, the school, is to respond. Third, there is nothing inherently evil in school leaders attempting to influence community opinions regarding schools, in actively engaging in the process of determining educational policy--in being political. Finally, people of the community are not equal in their power to influence the opinions and actions of others. That is, within each community there exists a unique influence structure--political system, power structure.

How can school leaders identify the opinion leaders in their community? There are, basically, two options. They can employ an outside, "expert," team. The "fear" school leaders have of the negative repercussions of such a formal study is largely unfounded. Experience suggests if this is done by a university-based research team, the negative repercussions are minimal or nil. On the other hand, the school leaders may choose to do it themselves. If this is the option, the basic steps are:

a. Study the research on the nature of community influence systems to provide a perspective for understanding their own district.

b. Get acquainted with status leaders in various sectors of the community--

newspaper editors, elected officials, political party officials, prominent businessmen, prominent lawyers, prominent ministers, labor leaders, prominent real estate men, prominent farmers, prominent minority group leaders, prominent physicians, women's club leaders, etc. If the leader is new in the community, the study of newspaper files, chamber of commerce listings of public persons can aid him.

c. Create opportunities to be in informal associations with such persons (civic club lunches, drug store coffee breaks, etc.) and get them to talk about the community issues and problems that are important to them. Make mental notes of the persons mentioned in regard to these issues and problems.

d. Record regularly the names and relationships that these status leaders have mentioned. This will soon build into a pattern--a kind of sociogram.

e. "Bird watch." Select three or four major issues and follow their resolution. Who was involved publically? Behind the scenes? What were the points-of-view expressed? To "bird watch" a school leader must be active in civic activities of the community.

f. Study the information provided from the status leaders in comparison with the results of the bird watching. If experience is any criterion, the leader should have many of the same names and relationships from both sets of data. If so, these are the opinion leaders--or at least most of them.

Two closing comments on the process of identifying opinion leaders should be noted. The identification process should be continuous. Given the rise in pluralism in most community opinions, leaders may change with issues and the times. School leaders should not assume they know who the opinion leaders are just because they are long-term residents. Many "local" schoolmen have "lost" by being too confident.

How can school leaders secure <u>valid</u> feedback from the community? Note the emphasis on "valid"; misreading of opinions can easily result from "catch-as-catch-can" feedback. In other words, the opinions of a social clique, PTA group, or vocal persons at a board meeting may represent only a very minority voice when the opinions of the total community are considered. Further, school leaders may be guilty of distorting feedback, of hearing only what agrees with their preconceived opinions. The point is not to ignore feedback of this type but simply to recognize that its validity may be open to question and that no feedback is of value unless it is accepted with some objectivity. If one has accurately identified the opinion leaders of the several segments of the community, one excellent source of feedback is dialogue with these leaders. Some superintendents regularly have lunch with one or two opinion leaders from the several segments of the community. A well-conducted opinion poll is the second major means of securing valid feedback. The basic steps in the process are: (a) define purposes specifically; (b) choose adequate size sample in terms of purposes; (c) select a method of contact; (d) develop data recording instrument; (e) organize and collect data (if an interview is used, be careful about the selection of interviewers; (f) analyze data in terms of purposes; and

(g) develop plans for action based on the findings. Two final observations on polling may be valuable: First, opinions are fickle. They are good only for a brief time for the questions answered. Second, school leaders may need to identify and regularly poll a panel similar to the ones used in television and by many advertising agencies.

How can school leaders influence the opinions held by the several segments of the community? In general, school leaders may strive to create a positive image of the schools, to establish the credibility of school leaders so that their opinions carry weight. One way is to take action, if feasible professionally, based on poll data. For example, if a poll shows concern for the quality of teaching, steps should be taken to improve that quality, and those steps should be made known to the community. The change theorists have identified three approaches to bringing about change. Their ideas, somewhat prostituted, provide a framework for offering specific suggestions for influencing opinions. The "rational-empirical" approach suggests that school systems might conduct studies of school conditions and communicate their findings in an objective manner to general public using the media, personal appearances, etc. They might also communicate regularly with opinion leaders, telling the "school story." A "normative-re-educative" approach would involve opinion leaders from different segments in school activities such as surveys, school advisory committees, etc. It would also involve centers of latent support (e.g., young mobiles, blacks) in school affairs to build a pro-school bloc. A "power-coercive" approach might attempt to secure the support of key opinion leaders, using their influence to change opinions. It might suggest the use of outside pressure to influence opinions (e.g., a state department threat of loss of accreditation or pressure from the officials of a large national corporation with a local plant). A "cross pressure" situation might be created in the minds of the people. For example, the need for more funds might be posed as an alternative to the necessity of curtailing highly desirable school programs and services.

If school leaders have very high credibility, "rational-empirical" techniques may be enough, but they are usually of greatest value in reinforcing opinions or in making them acceptable. "Normative-re-educative" processes are laborious, and control of them may be lost, but, generally, the pay-off is high. "Power-coercive" techniques may offend your moral code, and the potential for backlash is a real problem, especially if outside pressure or threat is brought to bear, but in a number of situations it has worked, especially in relatively tight-knit political systems. Too often school leaders have assumed that a "rational-empirical" approach is enough. They have feared to really seriously use a "normative-re-educative" approach and lacked skill in the use of or have been offended by the thought of "power-coercive" techniques. I would like to suggest that to some degree all three approaches must be used to influence community opinions.

# LOCAL SCHOOL SYSTEM EDUCATIONAL PLANNING

Dr. Edward Whigham, Superintendent, Dade County Schools
Address to Summer Conference of Tennessee Public School Council for Research
University of Tennessee, Knoxville
August 8, 1972

The central focus of the educational planning in which the Dade County Public Schools are currently engaged is two-fold: (a) a system of performance planning and appraisal, and (b) a system of program evaluation and budgeting. These will be discussed later in this paper along with a number of related concepts and activities. First, I would like to make some general observations about educational planning.

What is planning? Since this paper is concerned with actual activities in an ongoing school system, that is, those geared to practice, it will leave to others the formal and academic definitions of planning. Let me just observe that planning varies, from a common sense effort to anticipate in advance what must be done and how it should be accomplished, to very formalized and comprehensive programs for the allocation, control, and direction of the use of resources in an organization or a nation.

In education, the most extensive thinking and writing about planning has come from two fields: curriculum planning and school plant planning. In these two fields there have been attempts to set forth systematic concepts and to analyze the various facets of planning. Some of the best studies of underlying concepts and related factors in planning occur in the field of curriculum studies. Unfortunately, in my opinion the whole field has been somewhat esoteric and self-centered and has not produced the systematic models essential to comprehensive, sound planning of educational programs.

Considerable attention has been given to planning in professions other than education. Of course there has always been extensive military planning. For educational administrators, however, the most promising new concepts in the planning field arise from the areas of business administration and studies of business operations. I add the latter, that is, studies of business operations, because the best thinking in this field seems to come from practitioners who are directly responsible for the operation of business and industrial organizations.

The purpose of this short synopsis on planning is to indicate that practical men who have the responsibility for operating organizations in government, education, the military, and business and industrial life are concerned with the formal concepts of planning.

## The State of Planning in Educational Administration

Based on my own admittedly incomplete observations of the quality of planning in educational administration, my hunch is that the quality of adminis-

trative planning at the national, state, and local school system level is not very impressive.

What are some of the reasons for this? First, clearly articulated concepts and formalized organization for planning are lacking in most school systems, in most state departments of education, and at the national level. Activities which might be called planning are largely crisis responses or intuitive reactions to political pressures and last-moment recognition of organizational and operational problems. Almost all educational administrators lack formal training in areas such as planning, and there are no operating models in the profession which are useful in the teaching of administrators. Today most administrators feel that they are so pressured by the crises of school events that they simply don't have time to take on a responsibility such as formalized planning. Educational administrators simply are not accustomed, either by practice or training, to organizing management responsibilities and placing their plans in writing. And there still remain some administrators who are seeking a panacea for educational problems. Quite correctly, they recognize that planning is not a panacea for the complex problems facing education today and hence they have no time for such an effort.

In short, practicing educational administrators generally seem to know little about educational planning and have had very little training and experience in organizing their management responsibilities through the concepts of systematic planning.

## Some General Observations Related to Planning

Before addressing directly some of the efforts to plan in Dade County, let me present some general ideas about planning. My remarks will be geared largely to the mechanics and concepts of planning.

1. Surely you know that no particular system of planning independent of the quality of the planner can assure results. A poorly qualified educational administrator will simply mess up any system, no matter how well designed. The scope, depth, and quality of the knowledge and experience which the administrator possesses are essential components of the planning process and will determine whether any system is successful. If he is simply a mechanic in administration or has a small-bore mind, unenlightened by any of the new ideas in educational administration, there is little need to talk further about planning.

2. A second general observation: it is well in planning to separate basic ongoing administrative responsibilities from tasks which require special attention. It has been my experience that doing this focuses the attention of administrators much more clearly on what must be done. A number of things which administrators do constitute almost mechanical tasks as they continue to do them over a long period of time. Presumably at some point those tasks are well planned, and it is not necessary to launch a new planning effort every year or every planning cycle. Each year, or whatever period of time is used for a planning cycle, however, there are some tasks which require particular attention and which do require planning. In a satisfactory plan-

ning program the educational administrator needs to concentrate his attention on these tasks which because of current problems or new thinking require special attention.

3. If you are not acquainted with the systems concept, then you will need to become acquainted if you are to understand some of the newer planning systems. Incidentally, I find that "systems" is one of the "in" words in education today, being used by all sorts of persons who don't begin to have an adequate understanding of it but who have learned that it looks good to sprinkle their proposals liberally with this term.

4. Another concept that you will need to understand is the input-process-outcome concept. Although the mere statement of input-process-outcome concept is an over-simplification of the nature of an organization or administrative activity, the concept contains the germ of an idea that is very important. When you understand the concept and analyze it as applicable to education, you begin to see that most administrative activities are focused on input or process with very little regard to outcome. The concept is important because, in my judgment, the best current concepts of planning all focus on outcomes.

5. Let me comment briefly on so-called long-range planning--my preference is for the term "multi-year planning." Most school systems operate on an annual fiscal cycle. The organizing forces in education and in government work to require an annual budget and the annual allocation of resources. Given the general tenor of national and state legislative bodies as well as public attitudes toward governmental institutions, it would seem that we are likely to continue to have annual fiscal year planning. Actually, the annual process is a very poor way to run a government, speaking from the standpoint of administrative efficiency; however, it is likely to be with us for some time and hence my preference for the term "multi-year plan." I suppose my general conclusion here is that the best way to get at long-range planning is to establish a sound system of annual planning.

6. There are a number of component factors which are essential in sound planning. Let me mention several. First, plans must be placed in writing. The recording of plans in writing is essential for communications, and requiring a written statement of plans is a desirable discipline for administrators. It forces them to order their ideas in a clear pattern. Another component factor--adequate planning can produce a considerable amount of material to be read; hence administrators must develop techniques for the analysis and study of data reports and plans. Third, planning requires that the administrator explore, discuss, and evaluate plans with members of his staff. Hence the administrator must develop techniques for conferring with his staff members about their plans.

7. One final general observation: where do you find staff members who can implement a sound system of planning? My strong recommendation is to grow your own. As I have previously indicated, the training of school administrators simply does not equip them to engage in systematic planning, and it is very unlikely that you can employ a new staff member and thereby import sound planning into your school system. Only you and your staff can

improve planning in your system. You very probably can get some help from a consultant and from a study of systematic planning concepts; but only when these become a part of the thinking and preconceptions of you and your staff will planning in the school system improve.

Steps Taken in Planning in Dade County

In the last several years our county administrative staff has made a deliberate effort to improve the quality of planning in our school system, and I want to describe some of those steps.

Let me be the very first person to acknowledge that we don't begin to have a finished and polished system of planning in Dade County. Sometimes I wonder if we ever will. The best way to explain my insights into planning is to present some of the things that we are trying to do in a school system which each day faces the same kind of problems that almost all school systems face.

1. Several years ago we began the development and publication of a written planning guide for all executive management personnel at the system level. This was a good beginning in trying to plan. Actually it was a very simple process. Each assistant, associate, and district superintendent was asked to send to the superintendent in written form a list of the major tasks in which he would be engaged in the next fiscal year. These were tasks over and above the routine responsibilities of his position. For each task the administrator indicated the date when it was expected to be completed. As the tasks were produced or accomplished, they were listed in the midyear publication of the planning guide or a publication of the planning guide issued at the end of the fiscal year. In a conference with each administrator at the end of the fiscal year, the list was reviewed and an assessment made of the outcomes which were achieved or not achieved. Incidentally, during the year we did not hesitate to add new tasks which had become necessary or to delete tasks which no longer seemed important or practicable. As long as we used the planning guide approach, the listing and assessment of tasks was not directly a part of administrative evaluation, although obviously it would have some impact on the evaluation which each year is required for all administrators in the school system. Once the planning guide was going, however, it was a very useful resource in planning for the following year as the end-of-year summary was published and analyzed.

The use of the written annual planning guide for top administrators actually is a rather crude planning procedure. It was important for us, however, because it became the step that led us toward a more systematic program of planning.

2. At this time, also, we began to give much more concerted attention to multi-year projections of various aspects of administrative operations. For example, the Dade system has been a growing school system for many years. Fortunately this seems to be leveling off, but in the years of growth we added 5-10,000 students a year over a long number of years. In the allocation of resources and the determination of required financial support it was essential that we have a substantial estimate of future student enrollment,

hence the necessity of multi-year projections. Enrollment projections are fairly common in school systems, and I don't believe represent any particular new practice.

We also began to project our capital needs using basically a five-year projection. At one time a twenty-year projection was developed, but the crudeness of that document has not been of particular assistance. The five-year projection which is updated annually has been of considerable use. The school system has not received the capital funding needed to meet all its capital requirements, but this projection has assisted us in keeping before the state legislature and the local citizens the need for additional capital funding as well as serving as a basis for determining which construction projects are to be undertaken with the funds available. The projection of capital needs also led us to a comprehensive study of plant utilization.

Multi-year projections also have been undertaken in a number of program areas. For example, projections have been developed of resource and program requirements to provide education for all exceptional children in our county. It was hoped to have programs in operation for all children with the various exceptionalities by the 1973-74 school year; however, we are experiencing the problem that the definition of what constitutes exceptionality seems constantly to change.

A number of new programs proposed for funding in our school system require multi-year development. The first year doesn't cost much money but in subsequent years the cost rises sharply as implementation gets under way. For such new projections the cost is required to be developed on a multi-year basis through the period leading to full implementation. Decisions about budgeting such projects then can be made with some foreknowledge of what will be required in subsequent years.

3. So much for multi-year projections. Let me turn next to our efforts to develop a comprehensive school system plan. Several years ago the state of Florida passed an appropriation of supplementary funds to improve educational programs in the local school systems. Those funds were known as Educational Improvement Expenses, and the law which was passed required that school systems present a comprehensive improvement plan before the funds were granted. That planning program as implemented generally in the state was fairly mediocre, but it did focus the attention of school systems on the need for and the process of developing comprehensive school system plans. I mention this effort because it helped us see that the planning efforts of various departments and administrators had to be geared to some overall school system improvement plan.

4. Another planning effort which has become increasingly important for us is the attempt to engage in program budgeting. At the present time as a part of our annual budget development we are producing a program budget. Relatively speaking this is still a rather crude document, but it has been very useful to us in focusing attention on the purposes and outcomes of the various educational and administrative programs of the school system.

When program budgeting was begun, the school system was already producing

the annual budget in two formats. One was the usual account code budget, that is, budget by the object of the expenditures. This is the budget system used by most school systems and the one with which I am sure you are acquainted. We also produce this same budget in a responsibility center format, that is, a budget which shows expenditures by the administrative department or responsibility center which must administer the expenditures.

With program budgeting, the budget is presented in a third format, that is, showing expenditures by the various programs or educational objectives for which the appropriation is being made. After long and arduous work we are now able not only to present an annual budget in the three formats and, after considerable work in revising our accounting system, to present monthly financial reports in the first two formats and are working on the third.

Let me comment on some of the results which the program budgeting effort is producing in the school system. A main result is that it has focused the attention of the administrative staff on programs and outcomes. No longer, for example, is the staff concerned just about how many teachers it will take to operate the school system; we also are concerned about how much it will take to achieve the outcomes of the various basic programs of the school system. In planning and analyzing our budgeting and financial information system, we have found that the three formats serve very usefully in controlling and directing the operations of the school system. The use of program budgeting has helped to bring into focus the needs and effectiveness of the various programs of the school system and to consider more carefully the level of resources being allocated to those various programs.

5. Another step taken that relates directly to the overall planning effort is the establishment of a department of program evaluation. This is a separate department at the county level that is assigned the responsibility for evaluating the outcomes in various program areas. To evaluate comprehensively the total outcomes of a school system is a massive undertaking, and it has been possible for the program evaluation department to work only on selected program areas. The areas selected were those thought to most need a clearer indication of the extent to which the goals that were stated for the program were being achieved.

The program evaluation department is based on the idea that the school system needs a relatively independent assessment of the outcomes of its operations. Securing this independent assessment in no way relieves the personnel responsible for operating those programs of the necessity of making their own evaluation. In fact, the insight and the detailed knowledge which they have is essential to comprehensive evaluation. Nevertheless, their direct involvement and personal status in the program make it most desirable to have an evaluation by a group not directly involved. Only in this way can a superintendent and a board have an independent assurance about the degree of achievement in the various programs of the school system. Even with the size of the Dade system we still find it desirable to contract with some outside groups to do program evaluations. My experience has been, however, that we get a much better job when the evaluation is done by our own evaluation department.

6. A sixth step which we have taken to improve the quality of planning relates to the various information systems which are required to operate the school system. These systems provide the data to support planning. Our primary thrust has been to convert the processing of data in those information systems to electronic processing. By information systems I refer to the various records and reports which are kept in the school system. Among these are accounting records, attendance records, personnel records, maintenance records, and so forth. In converting to electronic data processing, a major effort was required to redesign the systems and to systematize the record keeping and information flow. Probably most school systems will have the same experience if they try to coordinate and automate their various record and information systems.

Some New Directions

1. As a result of experience over the last several years, we are now moving in some new directions in the area of planning. The central focus of that effort is the development of what we call a "Performance Planning and Appraisal System." This is very much a home-grown product, even though it is based on systems concepts imported from the field of business administration.

The general concept on which the system is based is that of management by objectives. This is a well-known concept in business management and there are a number of publications which describe it. Let me say in the very beginning that it is not a simple system nor is it easy to develop and administer.

Simply stated, perhaps over-simplified, the concept of management by objectives is that the planning of the administrator is based on his objectives, his own plan, and a review of this plan with his administrative supervisor for approval and concurrence.

Since the heart of this system is the performance plan developed by each administrative staff member, let me focus on the contents of that plan. In the plan are stated the major objectives or outcomes to which the administrator's efforts will be devoted during the year. For each objective there are indicated the activities necessary to reach the objective, a time frame within which the activities are carried out, and indicators that the activities have been carried out.

In attempting the performance appraisal system, we have found that a statement of goals for the school system must be developed so that administrators can cast their plans within the framework of those goals. This statement is not a general and glorified statement of philosophy; rather, it is a statement of practical operational goals for the ensuing fiscal year. It focuses on meeting the practical problems and needs of the school system.

What about jobs or tasks that come up unexpectedly during the year and just have to be done? This certainly arises with any administrator and probably always will be occurring in education. Those are considered emergency objectives and are incorporated into the plan. The administrator has to find time to do these things even though he did not anticipate them in advance,

and he may find it necessary to eliminate some of his preplanned objectives.

In 1972-73 we will be in the second year of a pilot program in performance planning. Participation is optional with the administrative and supervisory staff.

Some definite problems have been encountered. One such problem is learning how to do performance planning and appraisal effectively. Another problem is that initially considerable time is required in developing a job description and analysis and in placing plans in writing. We believe that as personnel gain experience, the time required will be no more than they would have normally been given to planning. A third problem is the data base. After the first year experience in performance planning, a number of our staff members realized that they had stated objectives without having adequately analyzed the possibility for really reaching those goals.

A significant problem relates to compensation. Most management by objectives systems relate the compensation or salary of the administrator to the quality of his performance. How to do this or even whether to do so is a matter which we presently have very much under discussion. My general inclination is to eliminate the usual salary schedule with annual increments, to substitute a compensation plan with minimum and maximum salary rates, and to provide that any salary increases given within that range must be based on assessment of performance.

In implementing any new administrative system, as you know very well, one has to be sensitive to the human relations problems in relating the new system to other administrative operations.

Our frank estimate of status as a result of a first year pilot program is, "We haven't got it yet, but let's keep trying." There is, however, better communication between the participating administrator and the person to whom he reports; and there is a much quicker, sounder response to identifying those tasks and objectives which are most important to the school system and to the job responsibility of the administrator. Most of the participants have a clearer idea of where to put their time and how to plan their work. There is available a much more objective and firmer basis for evaluating the quality of performance of the participating administrators. In 1972-73, as I have indicated, we will continue an expanded pilot program and will make a decision on the compensation plan for administrators in our school system.

2. Another change in direction which we are making in our school system is to combine the program budgeting staff, which was located in our finance department, and the staff of the evaluation department, which has been located in our instructional division. In effect, what we are moving toward is a master planning service for the school system. If that term had been used in our school system several years ago, it would have produced excessive reactions of a massive control agency. With the background of experience with an evaluation department and a pilot program in program budgeting, the proposal for combining the two departments and creating a system planning service today has been welcomed by all of the administrative staff.

3. There are other facets of our efforts to improve planning such as continued work on improving the information systems, establishing an organized records system, and implementation of a management audit system.

## Practicality for Small Systems

The Dade County system is the largest public school system in the southeast. Its sheer size permits diversity of organization in staffing not found in smaller systems. Can systems of lesser size use any of these concepts? You must decide this for yourself. My judgment is that smaller systems certainly can use the concepts. Both my experience in Dade County and as an administrator in much smaller systems would indicate that the basic concepts are equally applicable. All school systems need systematic and formalized planning, a system of resource allocations, and a system of formal program evaluation. If you keep records and reports, you have information systems, and my guess is that you, like us, could benefit from work in systems design for those information services.

It is not economical, of course, for smaller school systems to operate a computer center or to employ systems personnel for the design of information services. Computer services and systems personnel, however, can be secured on a contracted basis or by school systems joining into a larger group to share such services. And no matter the size of the school system, administrative services would benefit from developing budgets on a program basis as well as on an object and responsibility basis.

## The Future of Public School Administration--Some Comments

In the last several years critical questions have emerged about the future of public education in the United States. Aside from the prophets of doom, it must be recognized that strong public reaction to problems such as desegregation, mounting costs of government services, and a general alienation from existing instructional structures poses serious challenges.

Our public school administrators cannot by themselves resolve all such issues. They can, among several major thrusts, place emphasis on the improvement of school system management and management systems and concepts. Among such efforts must be the improvement of the quality of planning and the ability to look beyond the next few weeks.

If the past is any guide, it is probably that many of us old timers may not be able to change. There are, however, younger administrators and administrative training programs that are in touch with some of the newer concepts and systems. From these younger personnel and the wisdom of older leaders will come the change.

Sound planning must be an essential and basic component in adequate school system management if public schools are to survive in the face of some of the current challenges. Planning will not solve all the problems that face us, but it certainly can help.

# Operational Educational Planning

C. KENNETH TANNER

*An Overview*

At present, planning is the "thing to do," so everybody is trying it. As with other developing concepts in the past, the market place is buzzing with crafty salesmen who flash shiny new planning models for the buyer. Each salesman has a unique package which appears to be "fool proof" and guaranteed to solve problems simply by employing a highly charged consulting firm (no pun intended), or a crafty independent systems analyst. Twenty-five to $100,000 later, your educational system can be the proud owner of a neatly wrapped package that I have named a "Systematic, Convenient, *R*echargeable, *E*nduring, *W*orkable, *E*ducational *D*evice." The model is guarded with expertise that would astonish the C.I.A., for fear that someone else will find out how simple it is. The model is convenient only to the firm because it uses their computer program; the package is rechargeable only with extravagant amounts of scarce dollars; and it is enduring and workable only when the firm is in full charge.

Operational Educational Planning, or O.E.P., is such a concept, currently popular and often pushed by instant experts (who may have read one article on the subject).* It therefore should be approached cautiously by the educational manager; however, it is my contention that O.E.P., when subjected to rigorous analysis by professional educators, can prove a helpful tool for the capable administrator. Several aspects of planning in general need attention before discussing the particular advantages of O.E.P.

It is fallacious to suppose, as some have done, that systematic operational planning will all its quantitative techniques will make the decision-making process inhumane. This line of argument lacks any sound premise, since *non-planning* has the same effect. According to Toffler, in his book *Future Shock*, "Arguing that planning imposes values on the future, the anti-planners overlook the fact that non-planning does so, too—often with far worse consequence. Angered by the narrow, econocentric character of technocratic planning, they condemn systems analysis, cost benefit accounting, and similar methods, ignoring the fact that, used differently, these very tools might be converted into powerful techniques for humanizing the future." [4:399] If logical steps and qualitative decisions are combined with quantitative aids to planning, there is little danger of inhumane treatment. Educational leaders must carefully analyze the often unsubstantiated criticisms leveled at planning from uninformed philosophical opponents who do not understand the wide range of activities involved in O.E.P.

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*The author wishes to warn administrators that there are self-proclaimed experts ready to move in and throw a monkey wrench into any system that is willing to pay. These charlatans change their area of expertise each year.

Educational planning is the key to successful implementation as well as to the operation of programs (sets of organization activities designed to achieve a well-defined objective). O.E.P. allows for logical thinking [3:9] by each person involved in planning and programming. The point made earlier should be emphasized: that is, a significant part of planning does extend beyond quantitative modeling, where judgement and intuition play a significant rôle in shaping expected outcomes. This aspect of planning probably comes as a surprise to those who proclaim that planning ignores the person. Judgement (historical in nature) founded on sound principles, combined with intuition (a spontaneous element of thought not necessarily based on experience) are part of all dimensions in planning and decision-making. The way that judgement and intuition are actually used in the decision process is indefinable or classified in the area called creative thinking.

Several requirements for successful planning are considered by Kaufman in a chapter entitled "Planning What You Do" [1:138-48]. He contends that the first requirement for educational planning is commitment to it. This commitment must begin at the top of the organization. Secondly, there must be a commitment to the techniques of planning. That is, a degree of trust in the tools of planning must be present. The third requirement of planning is that those involved must be proficient in the use of planning techniques. (One purpose of these techniques is to furnish information for decision-making. The decision process is one of the best illustrations of the humane element at work in planning. This simply means that the decision is supposed to be made by a sensitive human and not by a computer or a mathematical model, which are only aids to the decision process.) Finally, there must be a commitment to use the information generated by the planning process. There exist both a human use and a technical use; obviously the result affects people.

Operational educational planning requires ongoing evaluation, sometimes referred to as *formative* evaluation; O.E.P. is also facilitated by periodic or *summative* evaluation. Thus, total evaluation as suggested here means that we evaluate the process as well as the products of planning. Formative evaluation allows for correction or modification of process, while summative evaluation focuses on the criterion-referenced approach instead of the norm-referenced approach. A school of thought currently exists that does not recognize ongoing evaluations—it is primarily interested in output. Evaluation according to norms is often inappropriate in the dynamic process of planning, since by the time a norm has been established for comparison or reference, conditions have changed to meet current demands. That is, what was good for an educational system last year may well be inappropriate at present. If the objective-based planning process is, in fact, operational, then it follows that from the nature of the changing conditions in education, both formative and summative evaluations are necessary.

## GENERAL PROCEDURES OF O.E.P. [2]

### *Organization and Procedures*

Prior to any operational planning in an educational system, the leaders at the top must support and be committed to the concept that change is needed. Thus, the Board of Education or the Commission of Higher Education must formulate policy statements which favor the implementation and operation of a planning system. This vital step is important in providing the legal authority for various changes in the

organization required as new programs are developed and as old ones are phased out. Furthermore, supporting policy statements specify the degree of commitment of the board. These statements also serve as guides to effect change and provide a framework for ensuing decisions. The board policy statements shown in Table 1 are typical [2:1].

The organization for an operational educational planning system may follow the suggestion illustrated in Figure 1. One of the major functions of the board or commission is to legitimate the implementation of PPBS by issuing such policy statements as are shown in Table 1. Among other responsibilities, this policymaking group appoints the District Planning Council, whose membership includes community leaders, other citizens, PTA members, teachers, administrators, and students. The planning council functions to review long-range fiscal and curricular needs, serve as a voice for the community,

Table 1

Sample Policy Statements for Operating A Planning-Programming-Budgeting System (PPBS) [a]

1. The Board of Education (Commission of Higher Education) recognizes the merits of PPBS for management, planning, and evaluation. Accordingly, it is the policy of the Board (Commission) to implement and operate a district-wide (state-wide) planning-programming-budgeting system.

2. Planning for an educational system requires demographic, financial, and curricular data forecasts for a minimum of five years. The projections or forecasts are used to estimate the future consequences of current decisions.

[a] Source: Western New York PPBS Model

review objectives and their priorities prior to reviewing the budget, and serve as a communication link between board and community. Note the line of cooperation between the planning council and the policymaking group.

Next to the policy group is the chief educational officer, who has the task of providing leadership for implementation of O.E.P. This vital position receives input from the business administrator, the educational planning council, and the assistant superintendent for planning and research. Recommendations for policies, planning, programming, and budgeting issue from this important position for consideration by the chief policymaking group.

In addition to providing consulting service to the educational planning council, program director and program element coordinator, the business administrator updates the five-year review forecast and the student population projections and prepares a detailed account of building needs and the program budget. Many of these activities are dependent on the recommendation from the educational planning council, program director, and the program element coordinator.

Figure 1
Organization for Operational
Educational Planning[a]

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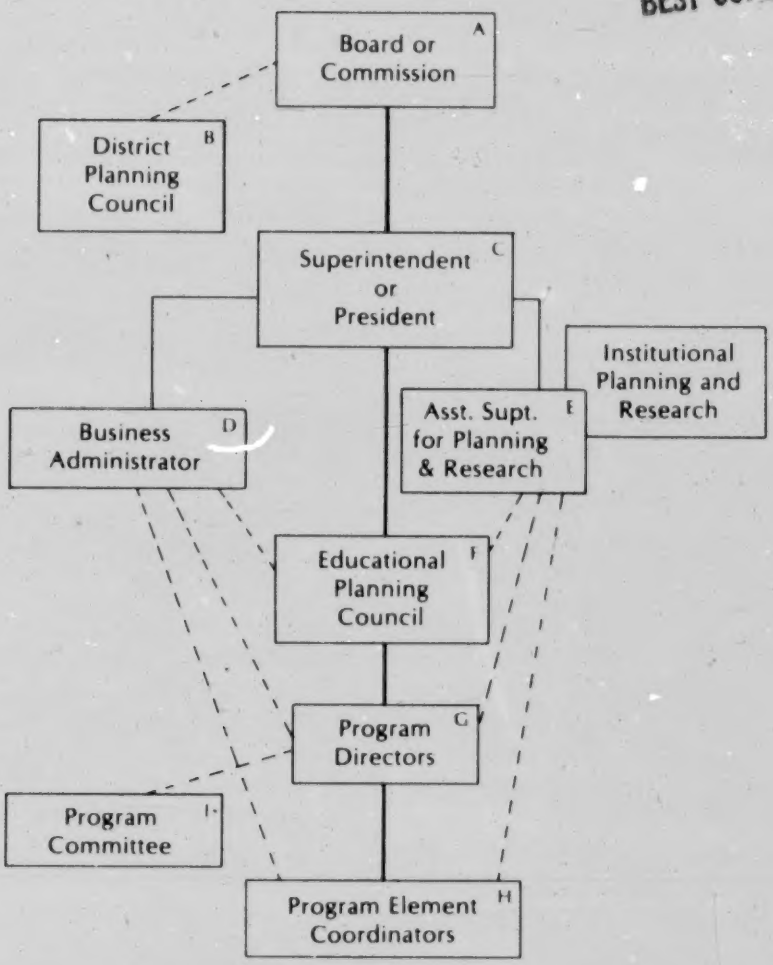


—— Lines of Authority

[a] Modified from W.N.Y. PPBS Model ----- Lines of Cooperation

The educational planning council membership includes the chief school officer, assistant superintendent for planning and research, business administrator, program director, and student and teacher representatives. Functions of the council are to review, evaluate, recommend, and prepare plans. The EPC reviews program structures, evaluates alternative approaches for achieving objectives, recommends program changes as well as policy changes to the chief school officer, and prepares long-range plans. These functions are dependent on the cooperation of the business administrator, the program director, and the assistant superintendent for planning and research.

One of the most important positions in the organizational structure for O.E.P. is that of the assistant superintendent for planning and research. This person should not be the typical guidance counselor who has functioned as test evaluator for the system or who has compared pre- and post-tests. Neither is this the person that just carries around computer output on student progress or student achievement. Indeed, this person does not simply "toy around with the computer," nor does he concentrate only on data banks. He is an administrator and coordinator of more than the information retrieval system. Although this position has the responsibility for data files, it also provides analysis of demographic data, community surveys, and budget cost/effectiveness analysis. This is a key position, providing consultant assistance to all program planners in the system by conducting statistical analysis of program data and also student achievement data. Among other varied duties the assistant superintendent is in charge of the scheduling of activities for planning, programming, and budgeting. This person should have thorough knowledge of planning tools that "photograph the future."

Each program director reports program achievement to the EPC at least once each year. Other significant functions of this position are to recommend objectives to the EPC, develop alternate strategies to achieve these objectives, suggest preferred strategies to the EPC, update program plans, recommend plans for allocation of resources for each program, approve the allocation of resources within each program, and annually update the curriculum-fiscal plan by consulting with the program element coordinator, the assistant superintendent for planning and research and the business administrator [2: Part III].

The person in the position entitled "program element coordinator" provides assistance to the program directors, the business administrator and the assistant superintendent for planning and research. Some of the key functions of this position are to assist the program director in formulating a rational budget strategy and in preparation and execution of the annual budget. This task is facilitated by preparing a curricular-fiscal plan for each program. Because curricular-fiscal planning is the most basic to the PPBS process, an investigation of many aspects of this procedure will be presented in the next section.

Next, a program committee is formulated for each program. This important committee is chaired by the program director and includes program element coordinators. The major contribution of the program committee is to assist the program director in program development and implementation. More than any single element in the organization, this committee influences curriculum change.

Before a detailed program analysis is illustrated, a summary of planning and programming procedures is necessary for proper orientation to this operational educational planning procedure. Table 2 illustrates the key planning and programming procedures and their relationships to nine organization levels. The commitment and responsibility of each level of the organization as they relate to the procedures of planning and programming are outlined under the section entitled "Procedure Facilitated by." In summary, planning is futuristic decision making. According to the W.N.Y. PPBS model the basic ways of planning are [2]:

1. To find out where the school district is now.
2. To describe where it should be at some future point.
3. To predict what will happen to aid or retard progress over the specific time frame.

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Note that the procedures in Table 2 are presented in actual performance order. Table 2 helps to define each job in the organizational chart (Figure 1).

*Programming Procedures*

There are at least five basic interrelated activities involved in educational programming [2]:

1. Assess needs (determine the *what is* characteristics).
2. Specify objectives (general and specific, or establish the *should be* characteristics).
3. Establish the priority for each program.
4. Generate alternative procedures for achieving the objectives and implementing each program.
5. Conduct ongoing and periodic evaluations.

Table 2

Functions and Procedures of Operational Educational [a] Planning and Programming [b]

I. Organization Level

A. Board of Education
B. District Planning Council
C. Chief School Officer
D. School Business Administrator
E. Assistant Superintendent for Research and Planning
F. Educational Planning Council
G. Program Director
H. Program Element Coordinator
I. Program Committee

II. Procedures
*Planning*

Master Procedure: Updating Long-Range Plans and Objectives and Developing Budget Year Guidelines

| *Procedure* | *Descriptor* | *Procedure Facilitated by:* |
|---|---|---|
| 1 | Identifying Community Influentials | E, A |
| 2 | Selecting Individuals to Serve on District Planning Council (DPC) | C, A |
| 3 | Selecting a Random Sample of Household Units for Administering Community Opinion Questionnaire (COQ) | E, F |
| 4 | Administering Community Opinion Questionnaire (COQ) | B, E, Survey Team |
| 5 | Sampling Opinion from National Sources | E, F, C |
| 6 | Forecasting School District Resident Population | E |
| 7 | Determining Educational Level, Family Income, and Occupational Needs of the School District Community | E, Director of Pupil Personnel |
| 8 | Forecasting School District Enrollment | E, School Attendance Officer |
| 9 | Forecasting Long-Range (Five Year) Federal Aid Revenue | A, Coordinator of Federal Programs |
| 10 | Forecasting Long-Range (Five Year) State Aid Revenue | D |
| 11 | Forecasting Sales Tax Revenue | D, School Attendance Officer |
| 12 | Forecasting Budget Year State Aid | D |
| 13 | Forecasting Full Property Valuation | D |
| 14 | Estimating School District Revenue | D |

| | | |
|---|---|---|
| 15 | Determining School Building Needs | D, A |
| 16 | Developing Five-Year Projection of Capital Outlay and Debt Service Expenditures | A, D |
| 17 | Planning and Executing Standardized Testing Program | F, D |
| 18 | Disseminating Standardized Testing Program Results | Director of Pupil Personnel, E |
| 19 | Screening Kindergarten Pupils for Learning Disabilities | Assistant Principal, E |
| 20 | Administering Pupil Opinion Questionnaire | Director of Pupil Personnel, E |
| 21 | Administering Professional Staff Opinion Questionnaire | E |
| 22 | Preparing Student Government "Opinionnaire" and Report of Student Concerns | E |
| 23 | Preparing Annual Committee and Council Reports | E |

*Programming*

Master Procedure: Developing and Updating the School District Curricular-Fiscal Plan

| *Procedure* | *Descriptor* | *Procedure Facilitated by* |
|---|---|---|
| 24 | Developing and Adopting a School District Program Structure | F, I, C, A |
| 25 | Preparing a Curricular-Fiscal Plan for Each Program | H, G, I, F |
| 26 | Determining and Projecting Program Element Costs | A, H, D |
| 27 | Preparing a District-Wide Curricular-Fiscal Plan | F, G, I, E, C, A |
| 28 | Developing and Assessing the Achievement of Program Element Objectives | H, E |
| 29 | Appraising the Effectiveness of Program Element Support Services (Interim Appraisal) | H |

[a] Source: WNY PPBS Model
[b] These levels are also in Figure 1.

Of course, the sixth interrelated step necessary to complete the process is the allocation of resources, or budgeting phase, that leads to a planning-programming-budgeting system.

A needs assessment may be defined as a discrepancy analysis requiring the planner to determine "where we are now" and to formulate "where we should be." That is, a design is established whereby the actual can be compared to the ideal. This structure permits formative and summative evaluations. The needs assessment may begin with a survey of school staff, students, and community residents. It determines the kinds of educational programs relevant to the community. An illustration of a need generated by a group of educators is as follows: "To provide a wide variety of vocational courses so that students would only be required to take the basic minimum in the academic areas." This was given top priority in a list of 59 needs produced by a high school faculty.

It follows from the relevant, needed vocational program identified by the professional educators, that the program objectives should be established as the next logical step of the O.E.P. process. Therefore, the program committee, program director, and the program element coordinator are charged with the task of specifying where the program should be at a future time. That is, a photograph of the expected future is made. The desired measurable results of the vocational program are established. At first these desired outcomes may be somewhat general. In fact, they may be only a desired state of affairs at some point in the future. More specifically, in Table 3 there are seven distinct courses identified as relevant to the educational needs of the hypothethical educational system called Opportunity School System.

Table 3
A Need Stated in Measurable Terms

General Objective: To provide a wide variety of vocational courses so that students would only be required to take the basic minimum in the academic areas.

Specific Objective: By January 1975 the following courses will be operational in the Opportunity School System:

| Course | Capacity Per Semester | Priority |
|---|---|---|
| Teacher Aid Training | 35 | 1 |
| Auto Body Repair | 30 | 2 |
| Auto Mechanics | 25 | 3 |
| Carpentry | 15 | 4 |
| Hair Styling | 15 | 4 |
| Airplane Mechanics | 10 | 5 |

The needs are quantified by the planning group who knows the community. First, however, it is important to note what the "as is" or "where we are now" implies. Simply stated, a need exists in Opportunity School System to extend the scope of the curriculum

Thus, "where we should be" is outlined in the specific objective in Table 3. The priority of each program is shown in terms of demand for certain skills. Establishing priorities for implementation of each program, the third step in programming, should, at this point in the planning-programming process, take precedence over cost. Priorities were established through a qualitative-quantitative approach, whereby knowledge about needed skills was combined via the Delphi planning technique.

Generating alternative approaches for achieving the objective paves the way for implementing the program. Considering alternative methods means specifying the various ways of achieving the same objective [2]. Questions similar to the following must be answered in a positive manner for each alternative solution:

1. What kinds of facilities are needed?
2. What are the required qualifications of the personnel needed to implement the program?
3. How many professionals and para-professionals are necessary?
4. What types of equipment are required?
5. How many supplies must be acquired?
6. How much does each alternative cost?
7. What is the relative effectiveness of each alternative proposal?
8. Given the alternative methods of achieving a common objective, their relative costs, and predicted effectiveness, what is the most cost-effective method of achieving the objective?

To illustrate the complexity of question eight, consider the program element in Table 3 entitled "Teacher-Aid Training." The top priority objective was to begin a program in January, 1975, with an enrollment capacity of 35. To mount this program we need inputs such as:

1. One full-time teacher-coordinator.
2. Certain facilities, materials, and supplies.
3. Cost of one and two above.
4. Students.

If it is assumed that the program is effective when this objective and a high percentage of its curriculum performance objectives are achieved,* then there exists a baseline for comparing cost and effectiveness. By norming the sets of curriculum performance objectives for the programs, a comparison can be made according to cost-effectiveness ratios for the purpose of allocating resources and programming activities on a long-range basis. The Delphi and Bayesian statistical procedures are appropriate for conducting a program cost-effectiveness analysis [3:27-112].

One of the greatest problems for any planning group is to realize that the steps introduced here must be repeated continuously in order to meet changing demands. Too often when a program is implemented, the educational system and community have assumed that the task of the planning group is finished. This situation is far, indeed, from the truth. Each year, in this age of technology, certain jobs become obsolete while new areas are in need of well-qualified personnel. What happened to the aerospace engineer, the Latin teacher, the class in slide rule, and the blacksmith? In all these cases the need shifted or an oversupply of trained individuals exists. Therefore, the need for formative and summative evaluations must be taken seriously, for without these two planning procedures, planning can become inhumane. It is inhumane for educational institutions to educate people for nonexistent occupations in order to keep a given program in operation or to meet an obsolete objective.

*It was not the intent of this article to present procedures for the development of performance objectives, since there exist volumes of literature on this topic.

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EDUCATIONAL PLANNING AND STAFF DEVELOPMENT

Dr. Max Abbott, Director, CASEA
PSCR, February 6, 1973

In the last 4 to 5 years we have begun to concentrate on the whole notion of personnel development as it relates to schools, and this is fortunate. In essence what I hope to talk about is personnel development and program evaluation as it relates to staff development. I have come to believe that staff development is not something we do to people but something that people do for themselves. The important question for administration is how to set the tone and make provisions for the improved functioning of staff. This is based on two assumptions. The first is that staff members at every level in schools generally have a sincere desire to improve performance. The second assumption is that they have the basic capabilities to improve performance--given the proper resources and the proper help in facilitating a plan. So my concern in the area of administration is how to provide the facilitative planning, resources and other help which will enable a staff to determine the areas in which improvement is needed and the means by which improvement may occur.

To get into this, I would like to explain very briefly what, for want of better terms, might be called an accountability model. Then I want to say a word or two about determining accountability because of the bad connotations that have come to be associated with that term. In the last few weeks I have read no less than a half dozen papers written by various people in various disciplines attacking the term accountability and attacking the practices that are engaged in under the guise of accountability. In virtually every case, I have had some follow-up discussions with the Office of Education, and they suggested that as long as I accept their definition of accountability then I agree with them. But I don't like to accept their definition of accountability. In essence, they're using accountability as a word analogous with performance contracting or evaluating teachers on the basis of standardized achievement tests or some such simple notion. If this is the definition of accountability, then I agree that accountability is likely to do far more harm than good. I see accountability in quite a different way, however.

Years ago, we used to say that evaluation of teaching or administrative performance should be a reasonable assessment of how closely the person in the position achieved what that person agreed to strive to achieve. That is, if you think of teaching or administration and supervision as professional responsibilities, then you must assume that the people holding these positions have at least the minimum ability to lay out in some reasonably objective sense what they intend to accomplish and then to provide evidence as to whether or not they have accomplished it. If there is a discrepancy, they will be able to explain it. This is, in essence, a reaction against the notion that a supervisor is a person who comes in, watches a teacher teach, tells the teacher what was wrong and then leaves. That behavior is what we were reacting to. In essence, we were saying that professionals have a particular kind of responsibility: to provide services for people that they can't provide themselves. The people that we are providing

services for are not in a position to determine whether or not that service is adequate. Accountability suggests to me that the professionals have both the ability and the obligation to define what they are going to accomplish and then be held accountable for its accomplishment. Yet it isn't quite that simple. Accountability comes close to being a contract, and by this I don't mean a formal contract. But it is much nearer to a contractual idea than it is to a worker taking orders. Frequently when we speak of accountability, we speak of holding people accountable to do what we have told them to do. That is not accountability in the sense that I think of it.

I'm going to describe an accountability model. I'm not trying to sell anything, but I find this to be a very useful way of looking at the topic. What I will describe is now called a School Planning Evaluation and Communication System (SPECS) which started out four or five years ago as our approach to defining a reasonable, and a reasonably intelligent way to apply PPBS (Program Planning and Budgeting System) principles in education. In my view and in the view of the people who have been doing work at our center, the emphasis is not so much on budgeting as it is on program planning. That's where we think the important work has to be done.

I want to use this frame of reference for looking at at least two types of positions in the whole area of personnel development: the teaching position, primarily, and in addition, the administrative position. According to this SPECS model, program planning occurs first by defining three sets of desired conditions: desired inputs, desired processes, and desired outputs. "Inputs" in this sense carry dollar signs. Inputs are those things which dollars will buy. Dollars will buy personnel time, supplies and equipment, buildings and textbooks. The desired inputs in program planning consist primarily of budget items. Ideally you might start with what you are trying to do and decide how many dollars are necessary to accomplish it. Budgets never work that way, so you always have to compromise and modify in terms of the dollars that are available. Nevertheless, at some point in a budget you define what the inputs are going to be to carry out a given program.

"Processes" refers to teaching or administrative procedures. What are those procedures that are used to accomplish what you set out to accomplish? How do you do it? What materials do you use? What kind of grouping of students do you use? And so on. "Outputs" in the SPECS framework consist of some type of statement of objectives, and preferably a performance objective. How do we want people to be able to perform as a result of what has been planned for them to do?

We'll come back to this later, but right now let's first accept that now we are talking about <u>actual</u> conditions instead of <u>desired</u> conditions. We're talking about actual inputs which then become the real expenditures that are related to the budget, and these don't always coincide exactly. We're talking about actual processes as we track what we do as we carry out a program that has been planned. We can detect discrepancies between what we planned to do and what we actually did. To give an example: Another professor and I were going to be engaged in team teaching. We were going to work together on a course in leadership. We laid out some plans as to how this should be done if both of us were going to be there, and we were going to team teach. In my judgment we didn't

carry out team teaching at all. He lectured a while, then I lectured a while, and then we argued with each other a while. Then he lectured a while and then I lectured a while and that wasn't team teaching. We did not carry out the process and therefore the outcomes that we expected to result from team teaching were not realized. The actual outcome becomes some type of measurement of performance. (Notice the avoidance of the term achievement, because I think achievement as measured by standardized achievement tests is a very limited conception of what schools are about and what performance is. It is one aspect of performance, but the measurement of performance has to be related to the kind of objectives that are set.)

In the kind of planning I'm talking about, there comes a point at which you engage in what could be called discrepancy checking. If this doesn't occur then what has gone on previously is largely an exercise. Discrepancy checking consists of checking the actual expenditures and the actual input against the budget to see whether or not there was reasonable planning regarding the available resources and how they could be used. It consists of checking the actual processes engaged in against the planned or desired processes, noticing deviations and assessing the reasons for them. Perhaps most important, it consists of checking the major outcomes against the anticipated or desired outcomes and determining the discrepancy. Analysis of the discrepancy should now lead to a recycling or replanning. You now come up with a new set of desired inputs, processes and outputs; you now have another set of conditions in the same framework as the previous ones, but it is based on experience.

What does this have to do about staff development? For approximately three years now, we have been working with a local school district in Oregon attempting to implement the model that has been briefly outlined here. The model has been supported by massive training to see if in fact such a notion could be implemented in schools. It looks nice on paper, it makes a nice speech, but can it be done? If it can't be done, then we might as well quit talking about it and go on to something that can be done. We have had some difficulties, the teachers have had some difficulties, but some very interesting things have occurred.

We encountered the first difficulty when we started laying out programs using desired inputs, processes and outputs. First we had to define what is meant by program. If we define program in terms of a complete school district, then we might as well go back to the old procedure of preparing a budget, because if the total school district is a program, then everything must be defined in such global terms that we will be doing exactly what has been done in the past. On the other hand, you could go to the other extreme in which each student is considered a program. In that case, the amount of data and time necessary to keep track of every student will make the planning system totally unmanageable. So somewhere between these two extremes in using a system like SPECS you are forced to ask what is meant by a "program"? A program could be all reading in the elementary school; it could be all that is taught in the first, second and third grades. Program could be defined in whatever way you want to define it, but it has to be defined in management terms. However, once you define "program," it must then be broken down into elements so that performance objectives can be determined for it. In our experience, we found that it took a number of training sessions for teachers to learn to write performance objectives. The important point is that when those training sessions

occurred, they were the result of the teachers saying, "We're trying to do something, and we don't know quite how to do it. Where can we get help to do it?" That is quite a different thing from going into a school and saying to the teachers, "We're here to teach you how to write behavioral objectives." In this case, teachers said that this was something they wanted to do, needed help in doing, and were asking for help in doing. We were filling a need. That, in essence, is what I mean by staff development: You provide the resources to help people do what they want to.

Don't misunderstand me, not all schools in the pilot district wanted to learn how to write performance objectives. Some did and some did not. Some learned and some did not. In that district there are some schools that have taken great strides in implementing this kind of system, and there are other schools that are about where they started. The difference lies in how people in those schools view the project--as you might well imagine. In this case it was largely imposed by the Board of Education and the Superintendent. That approach (from the top down) has its limitations, but the staff development occurred in response to a need on the part of those who engaged in the project.

Something else very interesting occurred. This SPECS approach to planning instruction has been heavily criticized because it tends to limit attention to those things that can be measured, things which may in many cases be trivial, which frequently are not the most important outcomes of school activity. That is a limitation whenever you begin specifying outcomes and trying to measure them. We had anticipated that in working with teachers in this project, we were going to have to encourage them to list objectives that were not related to achievement in arithmetic or achievement in reading (i.e., achievement measured by standardized types of measurement). Before we ever got around to that, the teachers themselves said that they were worried about it. When the teachers began to get down on paper what they were going to try to accomplish, they spotted a discrepancy between what typically gets measured and what they were trying to do for the kids. They turned then to trying to write performance objectives that would specify some aspects of schooling that are not usually measured. They were ready then to ask for help in doing what they felt had to be done.

The decision to implement this system (SPECS) in the school district was a decision by the Superintendent and Board of Education. This was a pilot test; we didn't know whether it would work or not. There was a gamble on both sides. We refused, however, to go in without an opportunity to meet with all of the people in the school district who would be involved in the project and to make a presentation: "This is what is going to be involved. This is what is intended to result from your involvement. These are some of the problems you are going to encounter." There were very few examples of unwillingness to participate. Some of the schools went through the motions, and other schools got very excited about it. The amount of success depended largely on the extent to which the teachers within a school saw it as an opportunity to improve their own performances. By my definition of staff development, that is all you're ever going to accomplish anyway. You are not going to improve anybody's performance unless they want to improve--no matter how you are organized. The point is that once a staff begins to plan what they are going to do, they begin to see a need for help. They begin to ask for help. They are ready for help. Students learn who

are anxious, ready and willing to learn. Those who do not want to learn are impossible to teach. The same general principle applies to adult learning.

Turning for a moment to the problem of relating specific teaching goals to broad, community based goals, it must always be kept in mind that schools don't exist in a vacuum. They exist in communities; they exist to serve communities. They exist to serve more than students. Somehow teaching objectives and classroom results have to be tested against the broader goals that communities hold for schools. The typical approach to PPBS is to establish community goals and then to derive deductively some general objectives for schools. From these objectives, more specific objectives are derived deductively for classes, and from these, still more specific objectives are derived for kids. That approach doesn't make sense. In the first place, the process is not that simple. You do not move deductively from broad goals to a specific activity. In the second place, virtually every school district in the country is already an operating system. Therefore, you have to begin by defining what you are presently doing. Then you may move in deductively and define what you are trying to achieve. That is what many of us never think about.

The point is that the deductive approach I've described probably wouldn't work even if we were starting a completely new school system, because many of the activities we engage in are an outgrowth of what we now know about teaching. They are an outgrowth of our experience with teaching. So the task is to match activities and goals, but the matching isn't done by going deductively from broad community goals to specific teaching/learning activities. If we start with teaching/learning activities, then we can review them and then determine what broader objectives we are really moving toward. We can then go to the other end and start with the community goals, asking what the community wants from the schools. We then move backward and find another matching point. Finally, we would look for the gaps, the points where there was no match, no connection between broad goals and specific activities. At that point we are in a position to make adjustments which would bridge the gaps.

This is by way of illustrating the point that at every step along the way we have provided opportunities for administrators and teachers to engage in discrepancy checking of another kind, detecting discrepancies between what we want to achieve and what we are achieving. We have now established a situation in which the staff is looking for ways to remove discrepancies. They are able to state explicitly the kind of help they would like to have. This, then, becomes staff development, but it becomes a process of filling a need rather than of imposing on people several requirements that we think are necessary. The most exciting part to this kind of process to me is right here--where the teachers and principals begin to say, "We think this is important, we think it can be done, but we don't know how to do it. Where can we get help to do what we are trying to do?"

The evaluation of performance when you are engaged in this type of planning relates to 1) the ability of teachers, either individually or in groups, to lay out reasonable objectives, and 2) the ability to assemble information to indicate whether or not those objectives have been reached. Now we evaluate staff in terms of a successful program. The staff has the opportunity

(obligation) in this setting to provide the information by which their performance is evaluated. The evaluation tends to center on what has been accomplished--not what procedures are used. Procedures are a means to an end, not an end to themselves--an entirely different approach to evaluation.

There are two kinds of organizational change in education that would help realize this kind of a process and enable us then to concentrate on program improvement and staff improvement as it relates to program improvement. The first kind of reorganization is at the school level. Throughout the country, we are seeing this kind of reorganization at the elementary school level. It is less in evidence at the junior and even less so at the senior high level. This organization can be called team teaching or differentiated staffing, but the one plan that has been laid out more carefully and seems to have had the greatest likelihood of succeeding is called multi-unit organization.

It was developed at the University of Wisconsin as a sort of accidental by-product of what they were actually trying to do. They were trying to develop materials to individualize instruction. They found they just could not get enough tested materials in schools the way the schools were organized. So these schools were reorganized and then we and they discovered there were some very desirable consequences which resulted. In multi-unit schools personnel are divided into groups. Each group has a designated group leader, and each group has different kinds of staff members in it: some certificated teachers, some teacher's aides or paraprofessionals, some interns, and at least one instructional secretary. Each unit or team has the responsibility for the education of a certain number of kids, generally in a range of 125-150. The responsibility for the group of youngsters' instruction is lodged with that group of people. That staff decides who is going to do what, under what conditions and within what time frame. The overall planning group for the school is comprised of the principal and unit leaders.

Two or three things tend to happen in schools of this kind. Interaction patterns grow within the group; these people help each other. There is more discussion within the limited group of teachers and paraprofessionals on how to improve what they are doing than in a traditional school. Another thing with this type of arrangement is that principals become very heavily involved in curriculum development activities, because that is what the groups are all about. A mechanism has been created through which the principal can work to help lay out general objectives, a mechanism which provides a forum in which to question the objectives that come from the teachers, to test them with reality.

In one school where we had an assistant involved on an experimental basis, there was no deliberate attempt to move to team teaching, but we found that teachers tended to form themselves into groups to help each other lay out objectives and determine whether they achieved them or not. Individually, they needed help, and they formed natural groups to work together. The groups tend to form around what they define as programs. If they define the program as reading in the first three grades, then all the teachers engaged in reading in the first three grades tend to form themselves into a group to lay out their plans cooperatively and to help find ways of measuring their achievement. You can now make provisions for staff development to improve performance using

their objectives and without threatening any one individual. Furthermore people are working together in such a way that those we think of as bad teachers have a great deal more incentive to produce. Staff development grows out of a situation where each person has to hold his own, where each person has to carry his load. The pressure to perform comes from the collegue who is working with the kids directly and not from someone removed from the immediate situation, not from administration. Once again you increase the incentive for individuals to seek help where help is needed.

One final comment. Where do people turn to get help when they recognize that help is needed? In some large school districts, it's possible to provide some kind of inservice training within the school district. In small school districts, it is virtually impossible. I think that cooperatives such as those designed by the Appalachian Educational Laboratory have had some success in this. I am suggesting that we need a kind of an organizational unit that typically does not exist in education, an organizational unit that spans three, four, five, or six operating school districts. It would be very similar to the Board of Cooperative Educational Services or what California calls the County School District and Oregon would call the Intermediate Education District. These are units that provide services that individual school districts cannot afford: computer services, psychological services, and so forth. I propose that this kind of unit can provide another service. They can become the agency that has available highly competent personnel to provide training for schools that ask for help on particular problems. If a school is trying to define performance objectives, the cooperative should have available the personnel who can go in and help them get over that hump. If they discover that the teaching procedures they are using just don't seem to get them there, and the cooperative should have available people with access to knowledge about new approaches to teaching, new ways of teaching. The primary responsibility of people in this intermediate unit--by whatever definition, cooperative or intermediate district--is to be concerned with improving staff development within school districts at the request of school districts.

In essence, in case the point has been missed, I am saying that for years we have <u>talked</u> about administration as a <u>facilitating</u> mechanism. For just as many years, we <u>thought</u> of administration as a <u>controlling</u> mechanism. I have described a process by which administration can indeed become administration and supervision can become a facilitating mechanism in improving instruction. It will become that only if administrators and supervisors see themselves as knowledgeable people who can provide service--rather than as judgmental people. Judgments will be made, but they will be made on a different basis. They will be made properly, by assessing the outcomes of performance against the goals of performance and moving to determine ways to reduce the discrepancy.

# Reorganization of the Tennessee State Department of Education
Dr. Benjamin Carmichael, Commissioner*

## INTRODUCTION

On April 24, 1973, Dr. Benjamin Carmichael, Commissioner of Education of the State of Tennessee addressed the PSCR and HEA Title I Community Education Planning Institute.

Dr. Carmichael's remarks were made to the Institute group to generate thinking and refinement of the proposed reorganization plan of the State Department of Education. As such the remarks were not developed in a formal format, and no attempt will be made here to present those remarks verbatim. Instead, the editor has taken the liberty of attempting to summarize the most salient points, and has appended part of the resultant reorganization plan which stemmed from the initial planning efforts of the State Department of Education. One major thesis of the Commissioner's talk was that a State Department of Education needs to contain long-range planning capabilities and expertise. This expertise must be applied both in planning for the State Department's own operation and in working with local school districts to assist them in management and planning. Furthermore, local school systems should concurrently develop a planning capability to work with and compliment the State Department of Education's planning capability.

The Commissioner's remarks were discussed by the Institute participants. Dr. Edgar Morphet, former Director of the Improving State Leadership in Education (ISLE) project served as a reactor to amplify many of the Commissioner's points and to set forth several additional points for consideration by Institute members.

After the major presentation, Institute members separated into small groups to discuss the material presented and then returned to the large group to initiate a question and answer session with the Commissioner.

In the major presentation Dr. Carmichael discussed his basic philosophy of planning and change processes, and exhibited for the group his preliminary plans for implementing these concepts in the reorganization of the Tennessee State Department of Education. One basic thesis presented by the Commissioner was that the State Department of Education has a role or function different from public schools.

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* Extensive editing of this material has been done from the tape recordings of the speech. The last section was added from some printed material that was prepared by the State Department of Education at a later date to demonstrate some of the theoretic points made in the talk.

Its primary function is to provide leadership and service, and must be organized for that purpose. The current organization of the Tennessee State Department of Education (as well as most other State Departments of Education) is reflective of public school systems. That is, it contains such roles as specialists in art, music, mathmatics, social studies, health, etc. Organizationally, it looks like a public school but it does not instruct pupils. However, since the purpose of the State Department of Education is not to instruct in those subjects, but rather to provide field services and direction and guidance in planning, evaluation program development, research, etc., the current plan seems ill-conceived to carry forth the major purposes of the State Department of Education. A plan, complete with roles, must be designed to carry out the purposes of an organization. The current school-like organization is out-moded.

After discussing such philosophic orientation, the Commissioner displayed a proposed organization plan designed to carry forth the basic purposes of the State Department of Education. This organization plan was an attempt to operationalize the theory and philosophic underpinnings of the purposes of the State Department of Education.

From these planning steps and subsequent refinements, the current organization of the Tennessee State Department of Education (1974) has come about. A brief description of one aspect of this reorganization (field services) as set out in an official Tennessee State Department of Education publication follows after the next few pages.

* * * * *

Many of you know that I believe one of the major problems in education is the structure or framework in which we are trying to conduct education. Our education process, in the final analysis, depends primarily upon a classroom-oriented, teacher-controlled kind of education. Ninety-nine percent of all work in research and development is aimed at making that situation run better. Yet I conclude that the situation is the problem. This gives us a new way to look at it, and a new set of problems to deal with.

A major requirement for improving education is ideas, I put this point down separately because it is so important. Only people who are capable of taking data and developing it into new relationships and new designs for doing things are capable of contributing to the improving of things. There are some who are not capable. They just keep every thing oiled and running well; they can refine and improve endlessly, but rerely are able to get out of the framework with which they are working to try a new direction. If you do not have that ability to step outside of what you are doing and examine it, I think that you will never be able to plan or to find solutions to problems.

We must use ideas and "much more." "Much more" is not clearly defined in my mind, but it includes such things as formulating solutions or products which will provide the answers to our problems.

Next, it is necessary to have human resources sufficient to execute

the requirements of problem solutions. These elements just discussed constitute a set of requirements I am trying to establish (in my own mind) for the implementation or performance of planning and leadership functions at the state level.

Using the State Department of Education as an example, I want to attempt to illustrate in a concrete way, within an organization, what I have been discussing in an abstract or theoretic way. Figure 1 (on the following page) seems to me to describe one way to organize for the performance of the necessary leadership and planning functions. This type of State Department organizational arrangement (reorganization) is a strong possibility at this time.* It is an attempt to synthesize ideas based on the previous needs and problems into an operational plan.

The reorganization proposal illustrated by Figure 1 was developed early in January, 1973. It has been discussed across Tennessee with all superintendents and many other persons. A task force of three individuals has recently been refining descriptions of the different divisions and positions within the plans, and conducting interviews with the current staff of the State Department of Education. Each staff member attempts to fit the various tasks he presently performs to a particular place or relates the tasks to a described function or operation in the scheme of the reorganized State Department. Finally, the task force requested reactions from each staff member--where would each see himself working best in such an organization? Some staff members have already been through the question period. It becomes rather exciting. I have had a chance to interact with the three individuals in the task force after they went through several sessions. At first they did not know precisely how to put a session together. After their first interviews with the staff, however, they realized where the plan had to be revised, where it had to be phrased differently, and so forth. In fact, some of the things that I am presenting here today have already been revised somewhat. They may be out of date by the time I get back to the office.

The proposed organization is headed by the Commissioner of Education. A division of Department Management and Planning is the nerve center of total planning and management of education at the state level. I am not going to list all of the types of positions that fall into various divisions, but perhaps some should be mentioned for a clearer understanding of the new organizational structure. In the Division of Department Management and Planning are found the director of planning, personnel officer, legal officer, facilities persons, a reports and statistics person, etc.--individuals that will have complete responsibility for the internal planning and management of the department.

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* Comments on the next several pages were made in reference to projected transparencies which appear as figures 1-3 in this text.

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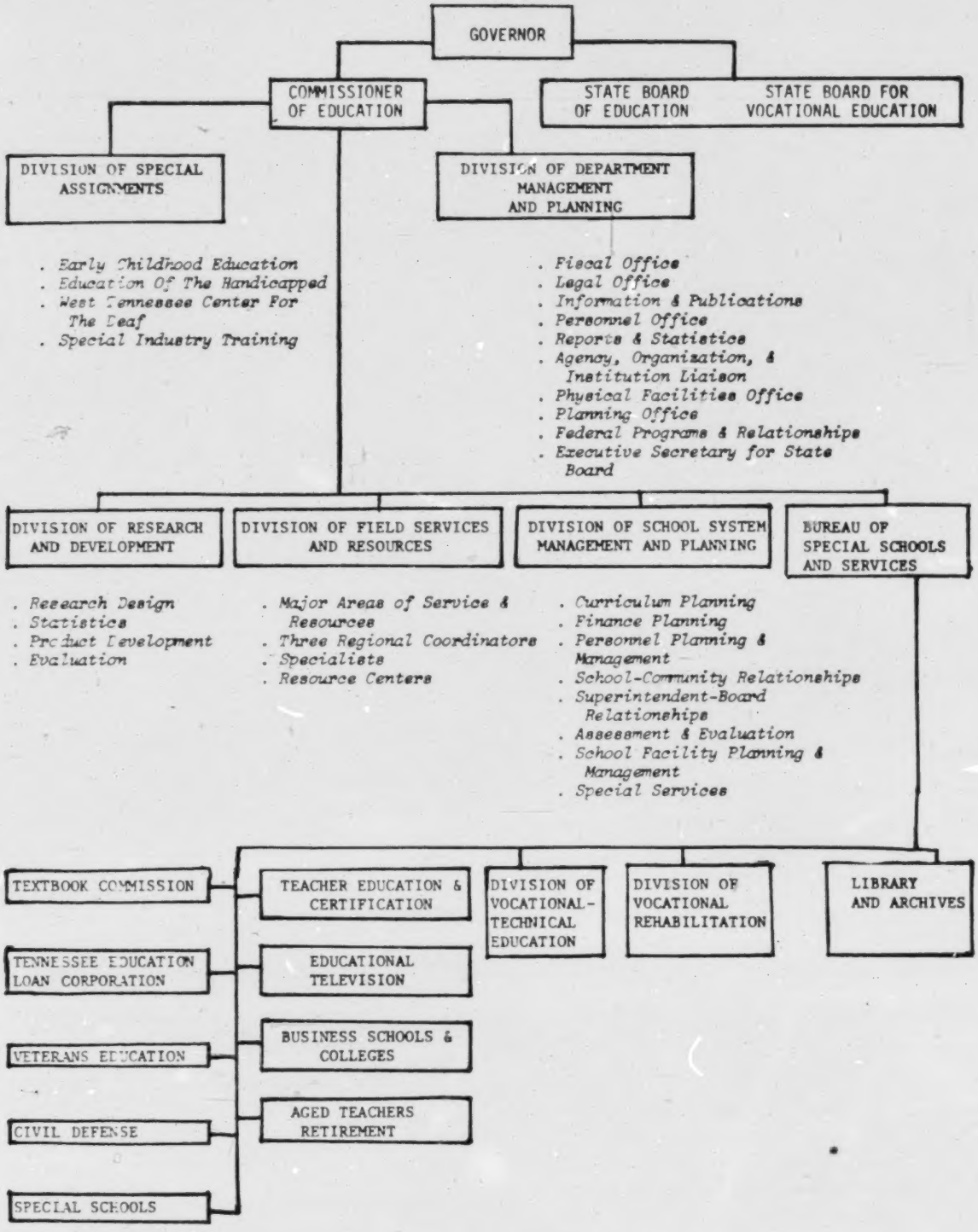


Figure 1

The various divisions must be viewed in terms of their operations. One is a Division of School System Management and Planning, where the staff's complete attention is toward assisting local superintendents and boards of education in planning and management of the local educational program. The Division of School System Management and Planning includes the curriculum planning director or specialist (capable of working with the school system, and, of course, staff), and also the directors of finance planning, personnel planning and management, superintendent-board relationships, school facility planning, and so on. A distinction to be made is that personnel of the Division of School System Planning and Management would relate to the local school systems in a management and planning function only, not in a technical assistance role for instruction. It is worth noting the work attitude that is necessary. The year's activities, needs, waivers, and the rules and regulations will be planned ahead of the year's work. This would be different from the present situation of starting the year's work and then, in about April, finding that a system needs a waiver because it has had a dangerous condition for youngsters all year in a school building, or something of that type. This division would really be an effort to plan ahead of the work, not after it, and to remove much of the negative effects of the mandatory regulatory functions of the state agency.

The Division of Field Service and Resources will provide technical assistance and needed services at the teacher-learner level. This division will be a service unit only, with no regulatory or management responsibilities. Activities of this division will be the most difficult ones for us ever to accomplish because services would be "on call." The division will be trying to create a situation in which assistance is requested from the superintendent-management level. This will make the superintendent fully responsible for whatever kind of help is needed at the lower level and will avoid, in a sense, his circumvention of responsibility.

Next is a Division of Research and Development (R&D) which shall always play a major role in changing existing operating conditions and certainly in implementing new programs. The R&D Division will not have the same kind of working relationships with school systems that characterize the other divisions.

Let me emphasize the Division of Special Assignments. I do not believe there is another one anywhere in any other State Department of Education. This division assigns persons (ad hoc) on a relatively short-term basis for the implementation of new programs and also nurtures the programs through what I call the 'formative implementation stages.' Education of the handicapped in this State is an example. Implementation of early childhood education is an example. The creation of a center for the deaf in West Tennessee would be an example. The requirements for each of those programs are so great that they are not capable of being implemented adequately through the normal operational structure of the State. Rather, they need specialized, separate leadership and development for the initial stages. They

must be provided the flexibility that makes implementation possible.

Another part of the organization is the Bureau of Special Schools and Services, which includes libraries and archives which do not fit elsewhere. It includes the Division of Vocational Education and the Division of Vocational Rehabilitation which has few direct working relationships with school systems. As I see it, vocational-technical education must become a part of a team that works with an individual school system. Thus, it logically fits in the Bureau of Special Schools and Services. And so with the other units in this Bureau.

Now let's try to relate the organizational chart to some kinds of planning. I could refer to figure 1 to reflect some of the positions in the various units. Note such roles in the Division of Department Management and Planning such as: fiscal officer, legal officer, information-publications officer, and personnel officer. To move more rapidly, however, I will just pass over these positions; those of us associated with school administration could, for the most part, identify the kinds of staff and units required, depending on the functions, in the various Divisions. However, let's pass over the specific job titles and see how this organization (see figure 2) facilitates the planning for the development of new operations.

The activities of the Division of Department Management and Planning illustrate working relationships in such an organization. This is where the planning for the development of workable new operations, which are continuously being improved, takes place. From the Commissioner of Education on throughout the organization you must keep communications and working relationships open to all divisions represented, yet you must have a responsible Division of Department Management and Planning interacting at and through all levels and, indeed, assuming some major responsibilities. You must involve the Bureau of Special Schools and Services into the working relationship, because there will be elements of the Bureau's responsibilities that must feed into this kind of thing. You certainly bring the Division of Research and Development into the relationship so that you plan and carry out your work with local school systems through both management and technical services in order to get the information that is needed, hopefully in a development mode, to produce new changes and direction. The capability of operating within a state structure is tremendously important at this time.

The difference between figure 2 and figure 3 is the capability of planning for the development of new programs as opposed to planning for development of new operations (figure 2). The primary change is the inclusion of a Division of Special Assignments, for the implementation, indeed for the development, of new programs. A critical relationship exists between the Division of Special Assignments and the Division of Research and Development. Any new or proposed program for which you are trying to find answers before moving to full implementation ought to evince a relationship between the program's direction and the requirements for good research and development. The other types of relation-

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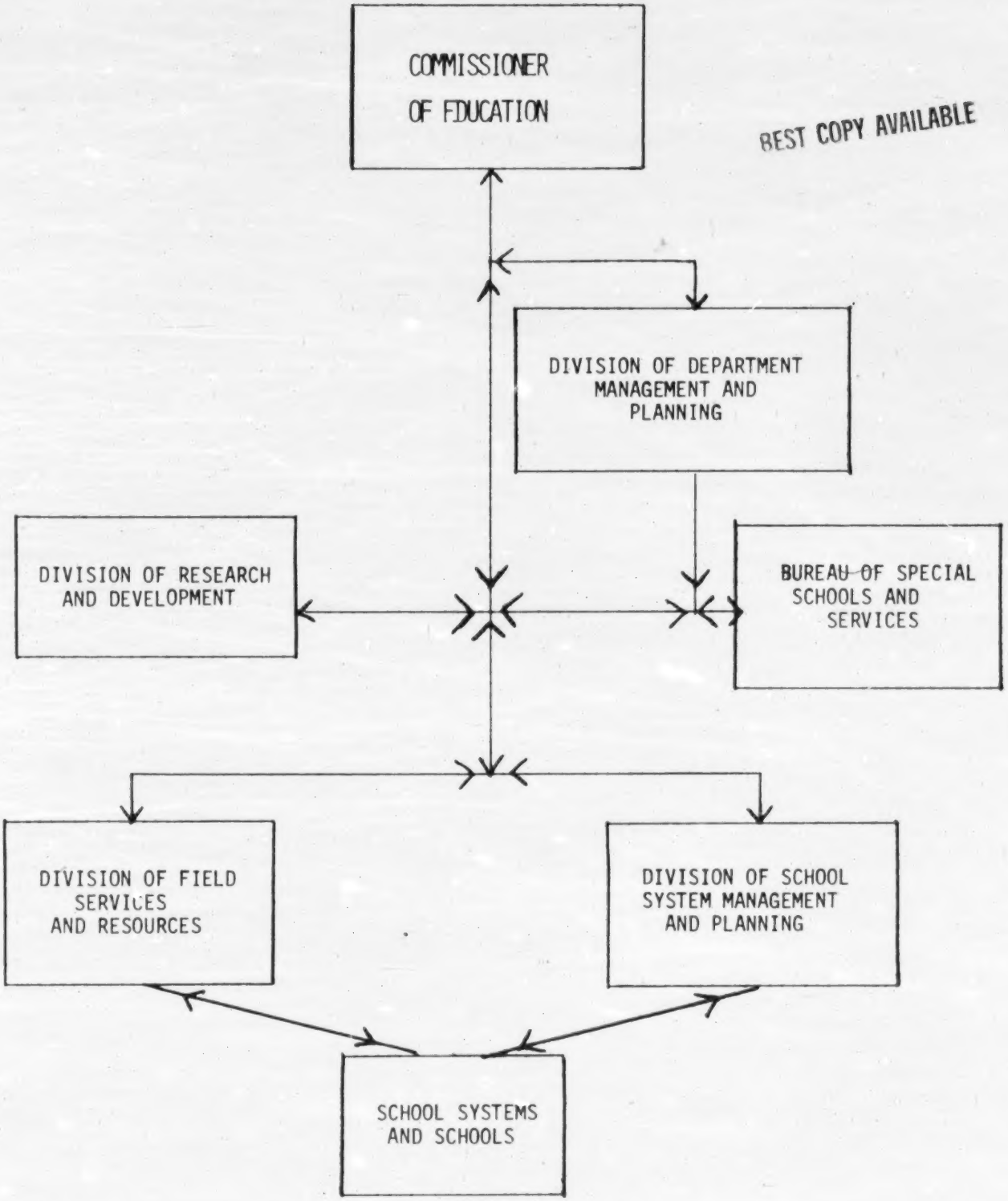
COMMISSIONER OF EDUCATION
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DIVISION OF RESEARCH AND DEVELOPMENT
BUREAU OF SPECIAL SCHOOLS AND SERVICES
DIVISION OF FIELD SERVICES AND RESOURCES
DIVISION OF SCHOOL SYSTEM MANAGEMENT AND PLANNING
SCHOOL SYSTEMS AND SCHOOLS

PLANNING FOR THE DEVELOPMENT OF NEW OPERATIONS

Figure 2

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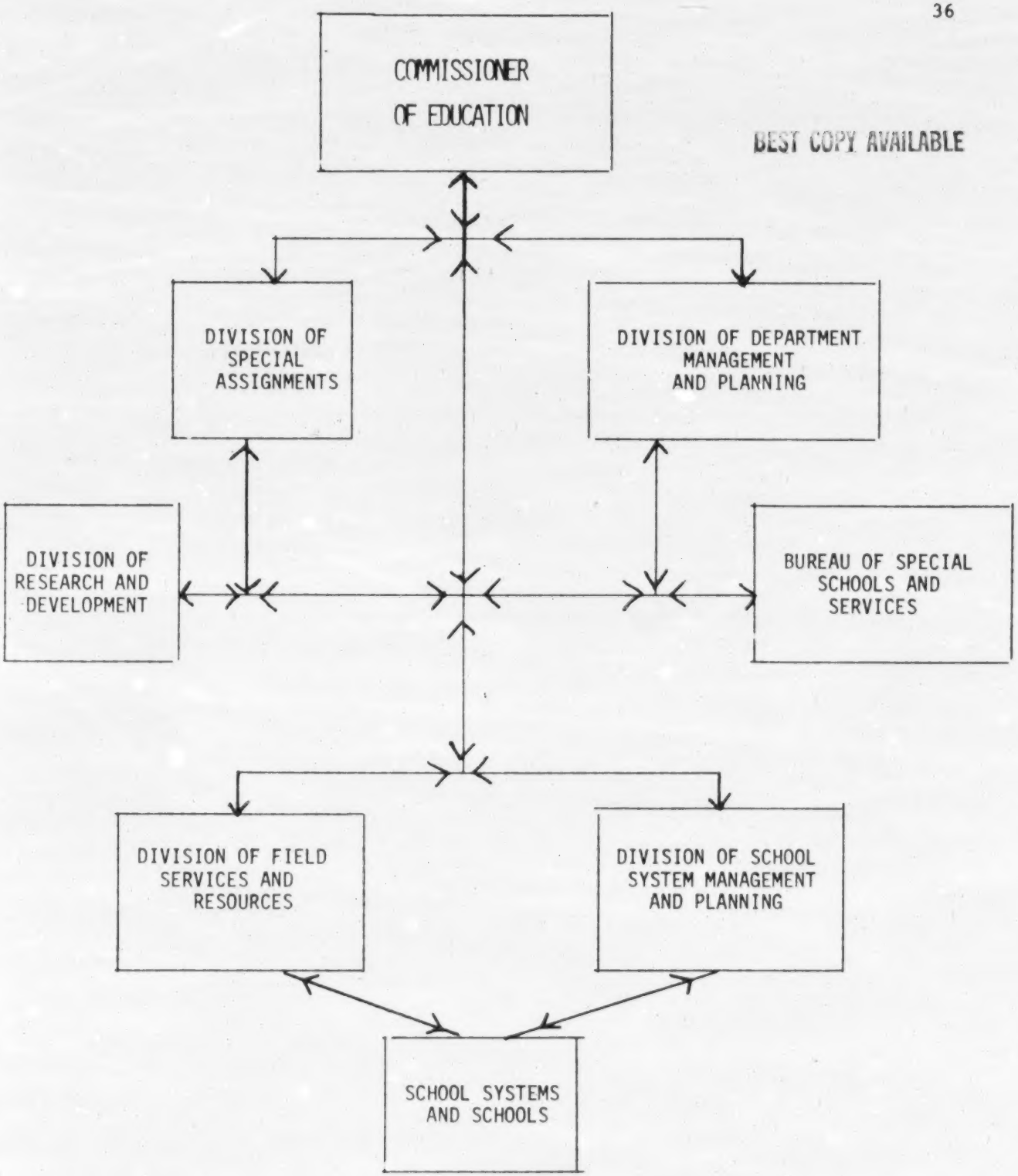
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BUREAU OF SPECIAL SCHOOLS AND SERVICES
DIVISION OF FIELD SERVICES AND RESOURCES
DIVISION OF SCHOOL SYSTEM MANAGEMENT AND PLANNING
SCHOOL SYSTEMS AND SCHOOLS

PLANNING FOR THE DEVELOPMENT OF NEW PROGRAMS

Figure 3

ships implied here all have to be coordinated; that coordination can be carried out by a unit like the Division of Special Assignments. Any new program must have a relationship: 1) to the local school systems through the Division of School System Management and Planning and the Division of Field Services and Resourses; 2) to Research and Development in order to set up the mechanism for the collection of pertinent information, data analysis and interpretation; 3) back to the point at which the decision for the actual adoption of a new program must be made. This relationship represents one type of design and organization for planning that I believe will improve the possibilities of the State Department of Education's responding to its leadership role.

Next I wish to refer to several programs that are of the type commented on earlier. Namely, they are programs that must be implemented yet we do not have sufficient plans for them at this time. We could not have planned for them, because they have been thrust upon us by the action of outside agencies. They have resulted from one type of planning, but a type that most would not recognize as the kind which provides adequate direction in education. However, as officials of State government we of the State Department of Education must implement programs that the Legislature enacts. This is a legal responsibility. Sometimes it, in reality, restricts the kind of planning that we can do.

First, let us look at vocational education. Over the past year there has been a committee in the Legislature studying the need for comprehensive vocational education in this State; the committee produced its recommendations at the recent (1973) session. This process represents the kind of needs assessment and other things that we talked about. The committee recommended that we should: 1) introduce career exploration in the elementary grades of all schools across Tennessee; 2) at the seventh and eighth grade levels initiate pre-vocational information and exploratory activities and counseling in the ratio of one counselor with special competance in vocational guidance for two hundred students; 3) provide every high school level student (grades nine through twelve) with access to comprehensive vocational training in each county of the State and provide counselors, in ratio of one to two hundred students, with special competance in vocational guidance. These, generally, are the three things that came from that committee.

After the recommendations were made, the Assistant Commissioner for Vocational-Technical Education and I became involved. The committee moves to the point, after our discussion with it, of preparing to go to the total Legislature with this kind of strategy: 1) the committee recommends that the implementation of comprehensive vocational training, in accordance with the recommendations of this report, be designated the highest priority of the Legislature and the Department of Education: 2) facilities required for implementing the program statewide would be constructed and equipped by September of 1975 (that date is not feasible now, but that was the one the committee set); 3) educational and training programs in accordance with recommendations of the committee would be initiated in September of 1975

(meaning that, after the facilities are created across Tennessee, we would implement programs in those); 4) all costs would be borne by the State, both construction and operation costs; 5) each county, including city and special school districts, would be surveyed and facilities planned for comprehensive high school vocational training in accordance with one of the following alternatives:

a) a comprehensive high school or facility;
b) if vocational schools are properly placed, they should be expanded in areas that lack a comprehensive high school;
c) in counties where there are two or more smaller high schools, separate centers for vocational training should be established to serve both the high school and the post-high school group;
d) where these alternatives are not appropriate, joint facilities be established to serve more than one county, depending upon such variables as pupil population.

This represents one type of planning, but not the type that we ought to have. It came from the Legislature; the only part we (the State Department of Education) really have had in it is to say that we have been able to help them see some of the technical things that were involved. For example, I think it fair to say, as the report said, that the legislative committee would establish a comprehensive high school in every county, period. But if you know the workings of education, the problems of going from school to school with students and so forth, you realize that there is not one fixed pattern that can work across Tennessee. Therefore, the bill that is drawn will say that the State Department of Education will plan these facilities in accordance with one of the alternatives. This provides the necessary direction and route. We also proceeded with the development of some seven steps of specific strategy which would take us from the surveys, to the determining of programs that are required, to the land acquisition, to the construction and so on.

This all relates to my feeling that here are some program ideas that are honest. A step-by-step planning procedure may not have been followed, but our immediate obligation is to take hold of the programs where they are, make the application and move with it. Similar programs and requirements have been developed for the education of the handicapped. The first order of business has to be the construction of an adequate plan for the long-range implementation of these programs. We are asking for 5.5 million dollars, and we do not yet have such a plan in terms of when we will actually implement it. Those of us in school systems know the many implications for working relationships in that situation.

Another very important planning activity involves a committee which is assisting school systems with cooperative working relationships in order to meet some of the requirements of education of the handicapped and other problems. Several in this PSCR group are involved in that. If we really are intent on perfecting educational cooperatives as an effective way of working in the State, then programs must be subjected to the steps planned for implementation.

To summarize, I have been trying to emphasize from the beginning what I feel the State Department of Education leadership requirement is--with the action coming from those of us who assume this kind of responsibility. I tried to emphasize, and have attempted all the way to hold to this point, that there is often no basic responsibility in State leadership, like those duties of professional educators.

Finally, I have been trying to project for you, in terms of some of my working perceptions at this time, some of the ideas of organization and work that we are already involved in. I think we must, in finalizing the reorganization of the State Department of Education and in making some of our decisions at the state level, adjust appropriately to the things you could propose.

The following material has been prepared by the Office of Educational Information of the Tennessee State Department of Education to describe some purposes of the reorganization and some examples of how the Field Service aspect of such an organization might work.

## RE-ORGANIZATION OF THE

## TENNESSEE STATE DEPARTMENT OF EDUCATION

Editors Note: This article was specially prepared by the Office of Educational Information of the Tennessee State Department of Education.

The purpose of the re-organization of the Tennessee State Department of Education is to change the traditional role of the State Department of Education. Most state departments of education are organized to perform supervisory and regulatory roles in administering public education, leaving the performance of the needed educational services to local school systems. The role of the Tennessee State Department of Education has been redefined. The primary role of the state department of education is to provide assistance to local school systems, and the re-organization has been keyed to provide that assistance.

The re-organization was accomplished through extensive evaluation and planning efforts that involved superintendents of local school systems, state department of education personnel, chairmen of local boards of education, concerned citizens and many other governmental, civic, and educational organizations. The re-organizational plan specified five primary functions for the state department of education to perform, and significantly, four of them are directly involved in providing services to local school systems.

The functions are:

* The internal management of the department.
* The continuous planning of a state system of education.
* The provision of service to the management, operation and planning in local school systems.
* The provision of service to the teaching-learning level of education.
* The continuous development and implementation of new and improved educational services.

To implement this organizationl concept, the Division of Field Services and Resources has been created and staffed on a regional basis

to bring the services closer to the local education agency personnel. It is directed by an Assistant Education Commissioner. Three regional offices were established: Knoxville, Murfreesboro, and Jackson.

Services are provided in the areas of technical and instructional assistance. Specifically, the division provides consultation, dissemination of information, testing and evaluation assistance, distribution of print and non-print material, and a complement of technical services.

Assistance is rendered through three regional field service units, regional resource center, and the Tennessee State Testing and Evaluation Center. Upon request, professional education specialists who are deployed through each of the three regional field service units, are available to assist the local school systems with a variety of services.

The specialists located in the regional offices serve in two broadly grouped areas of emphasis: program specialists (compensatory education, early childhood education, food services and special education) and subject areas specialists (mathematics, sciences, social studies, etc.) In addition, vocational-technical, educational television and curriculum specialists are available to provide technical and instructional services to local school systems at the school level whenever requested by local education agency personnel.

These regional offices can provide personnel, materials and equipment in the area of instructional resources. They can also provide testing and evaluation materials and personnel.

Thus, as a concrete example, a teacher living in, say, Marshall County wants help from the State Department in developing a new kindergarten program. Her first step is to make the request through her principal and superintendent to the Middle Tennessee Regional Unit of Field Services and Learning Resources, addressed to the attention of the Director. He will then forward the request to the early childhood specialist stationed in his division and she will have at her disposal the entire resources of the Learning Resource Center, both in the use of professional personnel and a wide range of materials and information. She will work, upon invitation, on the scene, in a hands-on endeavor to work the problem out.

(Commissioner Benjamin E. Carmichael summed up the purpose of the re-organization plan when he stated, "The purpose is to establish and maintain an atmosphere in which the learning resource center staff, the testing and evaluation center and field specialists operating out of them, work creatively with local education agencies in developing, designing and planning optimum use of media, personnel and facilities.")

# TEACHER EVALUATION:
# NEW OPPORTUNITY OR CONTINUING DILEMMA

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For the past several years there has been an emphasis on accountability in education throughout the United States. Related to this accountability movement has been a new concern with teacher evaluation. A number of states have now enacted laws or resolutions which require a new attention to the evaluation of teachers. Tennessee is one of these states.*

I have had an opportunity to work with school districts in California, Ohio, New Jersey, and New York, which have attempted to develop teacher evaluation programs to accommodate their legislative enactments. Perhaps educators in Tennessee will be able to benefit from the experiences of their counterparts in other states.

One of the first reactions by many districts when faced with the teacher evaluation legislation is to review and revise the evaluation instrument. Another common reaction is that this is an opportunity to get rid of "poor" teachers. Tests and measurement people want to immediately look at ways of evaluating student progress and relate that to teacher evaluation. This is due in part to a very narrow view of evaluation. All of these and similar reactions add up to a continuing dilemma about teacher evaluation. This dilemma exists due to feelings of threat, poor interpersonal relationships, a desire to maintain rather than improve the organization, and the heavy reliance on the formal authority of those in supervisory positions.

There are some school districts which have seized on the demand for new teacher evaluation programs as an opportunity to improve the education in their districts. Procedures used by these districts have followed a general pattern. The steps they have taken can be summarized as follows:

1. Agreement is reached that improvement of instruction is the major purpose for teacher evaluation.

2. There has been a willingness and an attempt to develop goals for the entire district which are consistent and which display a unity of purpose throughout all areas of instruction.

3. An analysis is made to determine if the organizational structure of the district is in harmony with the goals.

4. The roles and responsibilities of all personnel are reviewed in light of the goals and the emphasis on instructional improvement. For example, if instructional improvement is a high priority for the district, it must also be the major responsibility of those in supervisory positions.

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* See House Joint Resolution No. 227, 1972.

5. Agreement is reached by teachers and administrative personnel about important behaviors in and out of the classroom.

6. Procedures for monitoring the instructional program are developed collaboratively by teachers and administrators.

7. Analysis of the information gathered to determine instructional effectiveness is a collaborative process.

The seven activities enumerated above can serve as a basis for a long-term district inservice program--a program which can involve members of the community as well as representation from all groups in the school organization. I would submit that the development of a teacher evaluation program can be a new opportunity for instructional improvement in our schools. This opportunity must be built on the premises that all personnel do want to improve and that instructional improvement is the major reason for developing a comprehensive evaluation program.

If these premises cannot be accepted, then it would be best to simply change the evaluation instruments each year and not worry about instructional improvement.

## EVALUATION OF TEACHING

### ASSUMPTIONS ABOUT THE TEACHING STAFF

1. Every teacher can improve.
2. Most teachers want to improve and are working at improvement.
3. A team (non-hierarchial) approach to evaluation will foster critical introspection and an enthusiasm for improvement.
4. Continuing efforts toward improvement tend toward the highest quality of education.
5. Accountability goes hand in hand with improvement.

### ASSUMPTIONS ABOUT THE EVALUATIVE INSTRUMENT

1. The evaluative instrument must reflect classroom observations.
2. It must be practical to use.
3. It should measure what teachers and administrators feel comprises good teaching.
4. It should be structured to maintain and to reinforce rapport between the teacher and the evaluator.
5. It should generate usable information for teacher improvement.

### ASSUMPTIONS ABOUT THE EVALUATIVE PROCESS

1. The process should place emphasis on improvement by self-evaluation and self-direction.
2. It should provide documented, objective evaluation.

3. It should make more effective use of the administrator's time.
4. It should enlist the talents and resources of all certified personnel.
5. It should foster organization on the part of the teacher for continuing improvement.
6. It should provide a sufficient measure of accountability.
7. It should delete the non-essential aspects of traditional evaluations.
8. It should promote the positive and rewarding ideals of initiative, cooperation, and self-esteem.

## CLASSROOM OBSERVATION REPORT
## (COR Guide Sheet to the Evaluator)

1. Assessment of Student Needs in Terms of Objectives

   How does the teacher assess the students' present skills and knowledges relative to the subject matter to be learned?
   Is there a fair chance that the student in the class can reach the objectives?

2. Objectives Clarified by Instructor

   What evidence is there that both teacher and students know what the lesson objective(s) is/are?
   Are the objectives pertinent to the goals of the program?

3. Organization of Lesson Presentation

   What evidence is there that the subject matter presented is in agreement with the objective(s)?
   List ways in which lesson(s) show evidence of organization such as sequence, small steps, participation, reinforcement, and evaluation (success).

4. Degree to Which Objectives are Met

   What evidence is there that students have attained the objectives?
   What evidence is there that some of the students have not reached the objectives?
   What was the reason for some students not meeting the objectives?

5. Knowledge of Subject

   What evidence is there that the teacher makes accurate presentation of concepts and facts in the subject area of his teaching responsibility?

6. Variety in Classroom Techniques

   Describe methods and techniques observed.

7. Ability to Arouse Interest

   How is interest expressed?

8. Skill in Handling Teacher-Student Interaction

How does the teacher elicit and encourage student interaction or involvement?
Who asks the questions? (teacher, many students, bright students, slower students, intellectual bullies)

9. Assignments

In what ways are the assignments related to the class work or to the objective(s) of the lesson(s)?
How are the various ability levels and student interests taken into consideration in making the assignment(s)?
What evidence is there that the teacher gives close personal attention to and recognition of the students' work?

10. Mannerisms

How do any distracting mannerisms influence student concentration or behavior?
NOTE to Evaluator: In this category consider physical or speech mannerisms or other habits which interfere with the learning experience.

11. Willingness to Help

What evidence is there that students feel comfortable about seeking help from the teacher?
What evidence is there that the teacher answers student questions and requests satisfactorily?

12. Recognition of Own Limitations

What evidence is there that the teacher welcomes differing viewpoints?
What evidence is there that the teacher does not try to bluff or intimidate if he does not know?

13. Classroom Climate

What evidence is there that the teacher has respect for the students?
What evidence is there that the students have respect for the teacher?
What evidence is there that pupils respect each other?
What evidence is there that the class is productive?

## Diagnosis and Assessment of the Teaching Act

## DATA

### COMPILED ASSESSMENT FROM OBSERVATIONS OF THE TEACHING ACT

The following is a total assessment taken from observations completed earlier. The teacher and the supervisor have each indicated a position on the scale.

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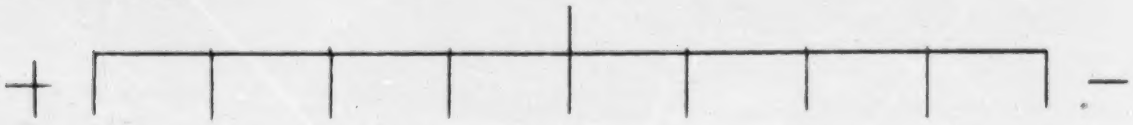
The check (✓) indicates the teacher's position and the (X) indicates the supervisor's position.

I. STUDENT NEEDS

A. The teacher makes an assessment of the students' present skills and knowledges.

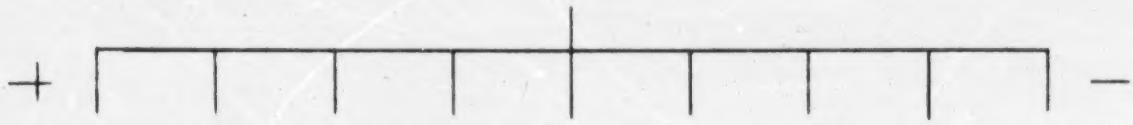


Teacher responsibility - Describes by what methods the needs were assessed.

Supervisor responsibility - Records and discusses the assessment.

II. INSTRUCTIONAL OBJECTIVES

A. The instructional objectives are stated in reference to the characteristics and needs.



Teacher responsibility - Prepares written objective(s) which are necessary for teaching the class.

Supervisor responsibility - Identifies and discusses objective(s) in post-observation conference.

III. INSTRUCTIONAL STRATEGIES

A. The teacher's lesson outline shows all learning activities used in the instruction.

Teacher responsibility - Provides activities appropriate to the students' learning styles (rate, mode) and abilities.

Supervisor responsibility - Observes, records, and discusses the learning activities.

IV. PUPIL PERFORMANCE

A. The assessment of pupil performance is made in relation to stated objectives.

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Teacher responsibility - Uses on-going assessment techniques and makes modifications and changes in strategies to help students reach the objective(s).

Supervisor responsibility - Observes, records, and discusses the assessment techniques.

V. STUDENT-TEACHER INTERACTION

A. Classroom operations include the opportunity for students to interact with each other and with the teacher. Student behavior is supportive of the objective(s).

Teacher responsibility - Uses verbal and physical techniques to maximize interaction.

Supervisor responsibility - Records the frequency of such interaction and presents to the teacher at the post-observation conference.

VI. KNOWLEDGE OF SUBJECT

A. The teacher demonstrates competence of the subject being taught.

Teacher responsibility - Makes accurate presentation of concepts and facts in subject area(s) of teaching responsibility.

Supervisor responsibility - Records data regarding the content discussed or used and presents to the teacher at the post-observation conference.

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